Public Personnel Review

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Journal of the Public Personnel Association

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CONTENTS

Public Personnel Review . . . .

The quarterly journal of the Public Personnel Association provides a medium for the publication of factual material and for materials that may represent divergent ideas, judgments, and opinions. The views expressed in articles and other contributions are those of the authors and may not be construed as reflecting the views of the Association or the editors unless so stated.

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editorial

"How Good Is My Personnel Program?"

A GOOD QUESTION INDEED, but not an easy one to answer. In seeking an answer to this important question we suggest your efforts will yield most telling results if you hold in mind several basic considerations.

A first consideration is: the stated *purpose* of the program. What appears in law, ordinance, administrative order, or a simple written statement shapes the pattern, scope, and climate of your program. If the purpose is only to "prevent political hirings" your program cannot be judged fairly by how well it furthers good employee relations or exacts efficiency in operations. Self-evident though the concept of purpose may be, many who compare and evaluate personnel programs ignore the idea. Purpose—goals and functions—emerges as a cardinal consideration in fashioning any evaluative effort.

A second consideration is: that personnel programs can be, and are, judged from many different points of view. For example, the employee looks at your program in terms of how much protection, security, and genuine equitable treatment it affords him. The public views your efforts with favor when personnel costs are low, production high, and "politics" nil. Administrative officials look for speed in recruitment or the quality of people you deliver through your examination process. Special interest groups—veterans, oldsters, unions—judge your program by the degree to which their particular aspirations are realized. Personnel people, evaluating ongoing programs, may apply their own yardstick of "perfection of technique."

A third consideration is: no widely accepted criteria exist which can be automatically applied to produce an exact or objective measure of effectiveness. Personnel practitioners need to experiment over the years with application of various criteria—then observe, record, and analyze results. Meanwhile you can be aware that various criteria do exist, you can take them into account, and you can see how they work out in your own particular situation.

Here are a few examples of measurement criteria: a personnel program might be regarded as "good" to the extent that it prevents discrimination . . . maintains high employee morale . . . assures personal development and training of employees . . . eliminates politics . . . reduces turnover and costs of personal services . . . enforces the letter of the law . . . goes beyond the narrow interpretation of its legal authority in providing a well-rounded personnel program . . . improves the quality of service rendered to the public . . . cuts down on employee grievances . . . prevents slowdown or work stoppages . . . provides meaningful records and statistics for managements . . . minimizes sick leave . . . assists administrators by giving them advice and counsel on operating personnel problems.

These and other criteria may be applied singly or in combination to help answer the question: "How good is my personnel program?"

What is the point of all this?

First, you will probably get a more accurate answer to the question posed by using several evaluating devices, not just one. No single criterion mentioned above will likely produce a complete three-dimensional measurement in terms of: scope of the program; quality of performance; and value of the program in accomplishing the mission of your government.

Second, since some criteria are more important than others, each deserves to be weighed carefully. Factors can be roughly weighted in terms of the relative contribution each makes to the success of the program; the importance of the contribution determines the value of the criterion.

Third, the impact of personnel program evaluation should extend far beyond the walls of the personnel office. Evaluation may improve the performance of your operation but it falls way short of its full potential unless it helps you *demonstrate* the worth of your activities to a diverse clientele: employee, management, governing body, and general public.

KENNETH O. WARNER, *Editor*

Meet the Authors

Dorothy C. Adkins

. . . author of *Objectives of Public Personnel Selection* is Professor and Chairman of the Department of Psychology of the University of North Carolina. Previously, she had 12 years of test development experience with The University of Chicago, the Social Security Board, and the U. S. Civil Service Commission. Dr. Adkins has been Managing Editor of *Psychometrika* and is among the editorial consultants of that journal and *Educational and Psychological Measurement.* She was senior author of "Construction and Analysis of Achievement Tests" and "Factor Analysis of Reasoning Tests." She has been an officer in state, regional, and national psychological associations.

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Rex D. Boyd

. . . author of *Developing Supervisors in the Canada Post Office* is Director of Personnel, Canada Post Office, Ottawa. His 20 years of experience in personnel administration in Canada included positions of Personnel Selection Officer with the federal Civil Service Commission, Director of Organization and Personnel for the War Assets Corporation, Employment Manager for one of Canada's largest department stores, and, finally, a return to the federal civil service in his present post. He was President of the Montreal Personnel Association and is now Vice-President of the Ottawa Chapter of the Public Personnel Association. One of his chief duties with the Canada Post Office has been the creation of the Management Appraisal and Development program.

Robert K. Burns

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During the War he served successively as

Regional Director of the War Mediation Board, Chairman of the Chicago Regional War Labor Board, Chairman of the Daily Newspaper Commission, and Special Assistant to the Administrator for Veterans' Affairs. He was named one of the Ten Outstanding Young Americans of 1942 by the U. S. Junior Chamber of Commerce.

Mr. Burns is currently engaged in research on the white collar employee—economic status, morale, unionization, and other related topics.

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Melvin J. Segal

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Developing Supervisors in the Canada Post Office

Rex D. Boyd

Management helps supervisors improve their effectiveness by providing continuing counseling as part of the performance appraisal system.

"LET'S READ what you've said so far about John." The personnel officer had been taking down on an appraisal form what the other members of the Appraisal Committee thought about John White. John had been a Postal Supervisor Grade 1 for just a little over a year in the Letter Sorting section of the Fairmont Post Office.

"You said: 'His duties are to supervise the work of a final sortation section; to coordinate activities of this section with primary sortation and despatching.' Under Results, you said: 'Has eliminated almost all overtime in section, although volume had increased by 9%. Has suggested several improvements which have helped to increase production, e.g., changes on H. & W. final cases. Has improved the sortation of two clerks who had, at one time, been problems. Could make closer check on errors, e.g., checking boxes. Did an excellent job on assignment to assist Acme Company in setting up mailing lists.'

"Under Methods, you said: 'Has a pleasant manner in giving orders. Has not had too much opportunity to assume full responsibility. Rather timid with other supervisors —could show more self-confidence.' Under Personal Qualifications—'Good knowledge of Letter Sorting but no knowledge of News and Parcel Sorting. Has shown interest in other sections of office by studying financial manual. Oral expression good. Could improve written expression—style not too clear, and errors in grammar.'

"Now, is that a complete picture of him?" asked the Personnel Officer. "Yes, I think that describes him pretty well," agreed the other supervisors.

The Committee went on to complete the rest of the appraisal. They decided after some discussion that his strongest single qualification was "Ability to get staff to produce large volume of work." His most noticeable weakness was recorded as "Lacks self-confidence." As an over-all assessment he was considered as "Doing a good job—should improve with more seasoning."

In view of the fact that John was ambitious for advancement, and since his ability to grow seemed to be good, the appraisers recommended several types of development action:

1. that he be counselled by his supervisor to help him acquire more self-confidence;
2. that his immediate supervisor delegate more responsibility to him;
3. that he be coached on how to improve his supervision of the accuracy of sortation in his section;
4. that he be encouraged to follow a course in English and Letter-writing; and
5. that he be rotated to the News and Parcel section.

John's appraisal was later reviewed by the postmaster, the district director, the regional director, and the superintendent of personnel development. They agreed with the recommendations on the appraisal. In addition, they had found that Peter Jones, a supervisor in the News section, also needed broader experience. Therefore, they recommended that he and John White should be exchanged for about 6 months.

A week or so later, John's supervisor took him into the office and discussed his appraisal with him. "As you can see, John, we think a lot of you, and we've suggested several things that will help you become an even better supervisor and prepare you to get ahead." John was pleased to learn that his efforts to do a good job were appreci-

ated. He was also surprised and somewhat disturbed to learn about some weaknesses which he had not been aware of; for example, his lack of ability to write well. Nevertheless, he was grateful for the advice given to him, and he was determined to take full advantage of it.

A month later he was transferred to the News section. He found that the technical knowledge he had of the Letter section made it relatively easy for him to grasp the News procedures. Nevertheless the experience of working with a new staff in a different section opened his eyes to problems he had never run across before. At first these problems caused him considerable difficulty, but he gradually learned how to solve them. This experience also helped to increase his self-confidence. During this period John followed a course in English and practiced writing letters and reports.

After six months, he was transferred back to the Letters section, this time in charge of the Despatch section. He put his experience in the News and Parcel section to good use by coordinating the despatching of letters with the despatching of News and Parcels.

The following year he was appraised again. When he was interviewed he was pleased to note that the progress he had made during the past 2 years had been appreciated by his supervisors.

However, he was surprised to find that with his increase in self-confidence he had unconsciously been rubbing some of his fellow-supervisors the wrong way. With coaching from his supervisor he was able, within a few months, to improve on this. He also took advantage of every opportunity to spend a few minutes in the office discussing the various office procedures.

Within the next year, a vacancy for Postal Supervisor Grade 2 occurred on the transfer staff of the office and John was chosen to fill the position.

If John White had not been willing to make any effort by himself to improve, the personnel development plan could not have helped him in any way. On the other hand, it is doubtful whether John would have developed his abilities nearly as well had he not been appraised and given opportunities to prepare himself for advancement.

In this case, John White worked in the Letters section in a medium size post office. He could have gone through similar experiences if he had been located in a larger post office, or in a smaller one, or in a district office, or at Headquarters. He went to the News section to obtain more experience, but in other circumstances he might have gone to the City section, or to the District Office, or to Headquarters, or remained in his own section. In other words, the development plans for each supervisor are tailor-made to suit his own particular needs. True, John was rewarded by a promotion but even without that kind of reward he benefited from his appraisals by finding out specifically how he could do his job better and more easily.

As this case reveals, the Post Office Department is following an appraisal procedure which is similar to the plan followed in many large organizations. It is assumed, in this article, that readers are familiar with the principles and techniques of management appraisal programs. This article describes some of the major problems which we encountered, and the solutions which were developed.

The term "supervisor," as used here, includes every member of management from the top to the first line supervisor who is in charge of a small group of rank and file employees. The Appraisal Committee almost always consists of the immediate superior of the person being appraised, the superior's immediate boss, and a personnel officer who himself is senior in status to the person being appraised. Occasionally this committee of three is expanded if the immediate superior of the person being appraised and the superior's boss wish to supplement their views about the man being appraised with the views of one or more other officers who happen to have a good knowledge of the work of the man being appraised. This means that the members of the Appraisal Committee are always senior to the man being appraised and they usually number three, two of whom are in direct line of command above the supervisor being appraised.

Frequency of Appraisal

The frequency of appraisal is apparently not an issue in most organizations, where it

is usually on an annual basis. Performance or efficiency rating is an old story in the government service and our appraisal program is therefore not something new but rather an improvement or refinement of the efficiency rating system. However, there may be a disadvantage in this apparently favorable atmosphere, inasmuch as there has grown up an admitted tendency for these ratings to be routine and based in many cases on a repetition of the previous year's rating, with slight modification.

It might surprise you to hear a personnel man express the feeling that appraisals should be held every second year, but we would rather see a real appraisal every second year than a superficial review, with slight change, of an appraisal made the previous year. We appreciate that there are strong arguments the other way, chiefly in relation to the delay which might result in helping a man who should be counseled more frequently. But, should not our approach on this point be general encouragement to supervisors at all levels that the counseling of subordinates on their weaknesses is a matter of their daily responsibility and not something which should be limited to an annual or less frequent post-appraisal interview?

Appraise According to Rank

Our experience has revealed that the order of appraising, according to rank, is significant. When we started the program the appraisals were made of the senior officers first, working through to the juniors. In this way, we reasoned, the plan would be learned from the top down, thereby gaining top level support and direction.

In the second round of appraisals, the order was reversed and the junior supervisors were appraised first. We found that this order is better for second and subsequent rounds because it gives senior supervisors, by participating in appraisal committees with their immediate subordinates, an opportunity to learn how their subordinate supervisors appraise their people. This knowledge is thereby obtained before the senior supervisors appraise their subordinates.

Attempting to maintain either order of appraising sometimes creates problems in setting up appraisal committees, considering the availability of the supervisors in their proper order, complicated by scattered geographical locations. However, our experience has shown us that as strict an order as possible should be maintained.

The Appraisal Form

We have had three rounds of appraisals and have changed our appraisal form each time. The most significant change was made just prior to the most recent round of appraisals.

Our original forms were designed to provide a description of a supervisor under two columns headed: (1) Strengths, (2) Weaknesses. The completion of this form developed a lopsided picture: more written on the "Strength" side of the sheet or vice versa. This was found to detract from the appraisal in that the supervisors tended to either try to balance the sheet, or prevent anything from appearing on the "Weakness" side, depending on their own thoughts about the whole technique.

The appraisal form has been redesigned to eliminate the two vertical columns "Strengths" and "Weaknesses," leaving three equal sections from top to bottom for the headings: Results, Methods, and Personal Qualifications. This permits the personnel officer to record the supervisors' comments under the three headings without having to divide the thoughts into strengths and weaknesses. The committee still discusses strengths and weaknesses under the three headings but the observations are all recorded together in the appropriate section thus eliminating the unbalanced appearance of the completed form.

Review and Planning

More and more we have come to the conclusion that this is an important part of the whole procedure. For each major organizational unit (five functional branches at headquarters and fourteen districts in the field) there is a Review and Planning Committee. This Committee consists of the most senior officers. These review and planning committees scan all the appraisals in the

unit, looking particularly at proposed development action. Each of the officers at the third management level sits in with the Committee in turn and participates in the examination of and decision concerning proposed development action.

At the outset, we had some reservations about the value of spending the time required by the Review and Planning Committee. However, the opinions of senior officers who went through this step in the program changed our attitude to one of conviction that this is an indispensable part of the whole program.

The Post-Appraisal Interview

The appraisals and the review by senior officers are, of course, the preparatory steps for the chief purpose of the program, namely the post-appraisal interview (or series of interviews) between the supervisor who was appraised and his immediate superior. One of the biggest difficulties in developing a good supervisory staff is convincing them that they should give their subordinates the facts about their work. There is only one person who can properly and fairly discuss a subordinate's performance with him. That person is his immediate supervisor. If anyone else attempts to pass on such information, it is unjust to the subordinate, bad for morale, and it damages the prestige and esteem of the immediate supervisor. It is a vital part of their training as supervisors that each one must learn to face up to his responsibilities in giving his subordinates the facts about their work.

Like many other large organizations, we have found that the most effective development consists of good direction and guidance by superiors. This is the reason why the appraisal interview, in terms of helping all supervisors to improve, is so important.

The interview is meant to be a frank and open discussion between the appraisee and his supervisor. If the supervisor is sincere, anxious to help, and willing to listen, he can be of great assistance by giving the appraisee a chance to explain his own views, by letting him know his strong points as well as his weaker ones, and by working out with him a plan of action to improve and develop.

Development Techniques

Following this, in some cases, techniques are used which help the individual towards self-improvement.

The supervisor must *want* to develop in his work. A man's improvement must come from within himself, and its spark is ambition. On the other hand, this development can be helped when opportunities and assistance are made available.

The following list illustrates the most common development techniques:

Experience on own job

Experience on the job with coaching by superior.

Experience on other jobs

Rotation to other positions within the same office, exchange or assignment to another post office, or district office, or to Headquarters.

Filling a special position as a management trainee.

Special assignments, e.g., research and reports on particular problems.

Other techniques available within the Department

Visits to other sections, post offices, district offices, or headquarters.

Supervisory training courses, e.g., work simplification.

Leading conferences and meetings.

Serving on committees.

Reading articles on management.

Techniques available outside the Department

Special courses at outside institutions, e.g., bookkeeping at night school, correspondence courses, public speaking.

The most important form of development is experience on the job. There is no substitute for the experience of assuming responsibilities and carrying them out. By his coaching, the immediate superior plays an extremely important role in making job experience the most effective form of development action. He does this by establishing an atmosphere of confidence between himself and his subordinate and by promoting a team feeling. He also provides challenging opportunities and, by requiring high standards of performance, ensures that maximum benefit will be derived from these opportunities.

The types of development action under "Experience on other jobs" all involve the performance of actual duties, and are, there-

fore, an excellent means of broadening a supervisor's horizons.

The group entitled "Other techniques available within the Department" does not provide as much opportunity to assume actual responsibilities. This type of action, nevertheless, is useful to broaden a supervisor's outlook.

The last group consists of development techniques available outside the Department. Here again, the opportunities to assume actual responsibilities are limited, but this type of development provides the opportunity to acquire special technical knowledge.

Special Training

The Department has on its establishment a number of positions which are used for special training purposes. A trainee can be transferred to one of these positions, thus freeing his own position so that he can be replaced temporarily if his assignment is to last more than 2 months.

For example, a supervisor from headquarters sent to the field on the plan "Operations Training for Headquarters Staff" is placed in a management training position for the duration of his assignment. Similarly, a field supervisor on a training assignment of more than 2 months to some other part of the field or to headquarters may be placed in a management training position. This procedure provides training not only for the supervisor placed in the position, but also for those who are given additional or other duties as a result of his assignment. In some cases there may be four or five other persons benefiting from this form of development.

Summary

The Department's personnel development plan is designed to help the development of all our supervisors so that the post office team will be as strong as possible.

Supervisors are carefully selected and must successfully go through a probation period after each promotion. The new supervisor is given various supervisory training courses which are designed to help him to carry out his functions effectively.

Each supervisor's performance is reviewed periodically in order to help him to do an even better job. In addition, if he has demonstrated ability, and if by his own efforts to develop he has shown that he is ambitious, he is given opportunities to increase his knowledge and to prepare himself to assume more important responsibilities.

All of these measures constitute a coordinated plan to build a post office team of the highest caliber. Whether this goal is attained or not depends on each and every supervisor. He has the responsibility not only to train and develop his staff but also to take advantage of the opportunities provided for his own development.

Training for Responsibility . . .

How do you get an employee to assume responsibility? Pick a task he can do, start him with an easy assignment, train him, encourage him, stand behind him, don't expect 100% success—if he doesn't have some failures, he isn't reaching out far enough.

How do you get old plow horses to train bright young employees? Tell them the trainee will be a problem, will ask questions, suggest new ideas. Tell them how to train them. Compliment them on their development of the new employees.—Earl Planty, Professor of Management, University of Illinois, and consultant to the American Management Association, in the *C & C Luna,* Honolulu.

Orientation Program for Top Political Appointees

Neely D. Gardner

California's new Governor calls on career civil servants to help orientate his administrative team.

As I write this, I am a privileged witness to a conference called by the newly elected Governor of California, Edmund G. Brown, for the purpose of giving his new political appointees a picture of the structure and function of the government within which they will be working for the next 4 years.

As this conference proceeds, it is apparent that the get-together is not simply a *pro forma* gesture. The Governor and his new administrators are seriously trying to orient themselves to their new situation. To do this job, the Governor has called upon key civil servants to present information calculated to help in this learning process, he has also called upon the elected constitutional officials (attorney general and state controller) and upon an eminent political scientist from the university. All of this, it seems to me, points toward a gratifying maturity of political officials that must be the hope for good government and survival in this accelerated changing world in which we find ourselves.

Governor in Attendance

The setting itself is conducive to accomplishing the kind of purposes set forth by the Governor. We are meeting on the campus of the University of California at Davis. We are spending 2 days away from the hectic and demanding life of the state capitol just a few miles to our east, and we are living in a residence hall, eating our meals together, meeting to hear needed information about our state government, and joining together in small discussion groups to discuss and to attempt to understand the problems with which we are confronted.

The Governor, Edmund G. Brown, has not simply sponsored the conference as a meeting *for* his subordinates, but it has become *his* conference, and he is attending a significant amount of time.

Meet With Agency Administrators

Let me elaborate briefly on the purpose of the conference. It has been called to accelerate the efficient transition from one administration to another. In this meeting, the Governor and his staff are creating an opportunity to discuss questions of over-all administration with agency administrators. Departmental directors and their appointed deputies here are having an opportunity to become acquainted with each other and with key persons in the central agencies in state government.

In our meeting, we should gain knowledge concerning the central agencies; their services and controls. We should gain knowledge about other important groups, publics, policies, processes, and procedures which are necessary to the effective performance of our jobs. We will be given a look at some of the problems of organization and administration which confront the State of California, and these problems will be set in perspective by Professor Dean E. McHenry of the Political Science Department of the University of California at Los Angeles. Finally, it will give us an opportunity to hear the Governor set forth the direction he will follow during the next 4 years.

A Working Conference

It interests me, also, that this is a real working conference. In this group of the 44 top officials in California state government, you would think you would feel the air of formality, of hierarchy, and of guardedness on the part of the participants. This is not so. The very atmosphere is one of hard work. The speakers stress clarity and substance rather than oratory, and the small group discussions are thoughtful and free.

This is a two-day meeting and it can be demonstrated by the agenda on page 107 that each day is a full one.

GOVERNOR'S CONFERENCE
FOR
DEPARTMENT HEADS AND APPOINTED ASSISTANTS

Agenda

Friday, January 30, 1959

8:00- 9:15	Registration
9:30-10:30	"Central Agency Relations" a. The Attorney General—Stanley Mosk b. The Controller—Alan Cranston
10:30-10:45	Intermission
10:45-12:00	"Organization of the California State Government" a. Structure, Functions, and Relationships—Marvin Blanchard
12:15- 1:15	Lunch
1:15- 3:00	"Central Agency Relations" a. Department of Finance—T. H. Mugford (Budgets, Audits, Buildings and Grounds, Organization and Cost Control, Property Acquisition, Purchasing, Printing, Board of Control) b. Personnel Board—Robert D. Gray John F. Fisher
3:00- 3:15	Intermission
3:15- 4:30	Discussion Group—"Central Agency Relations"
4:30- 5:30	Consultation with Central Agency Officials (Optional)
5:30- 7:00	Dinner
7:00- 8:00	Fiscal Affairs—Robert Harkness
8:00- 9:00	Social Hour

Saturday, January 31, 1959

7:00- 8:30	Breakfast
8:30- 9:45	Role of Legislative Staff Agencies a. Legislative Budget Committee—A. Alan Post b. Legislative Counsel—Ralph H. Kleps c. Auditor General—William H. Merrifield
9:45-10:00	Intermission
10:00-12:00	Discussion Group—"The Role of Central and Legislative Staff Agencies"
12:00- 1:30	Lunch—"The Next Four Years"—Governor Edmund G. Brown
1:30- 2:45	"Problems of Organization and Administration"—Dean McHenry
2:45- 3:00	Intermission
3:00- 4:30	Discussion Group—"Problems of Organization and Administration"
4:30- 6:00	Consultation with Central Agency Officials (Optional)
6:00- 8:00	Banquet—"Things I Wish Someone Had Told Me"—Richard A. McGee, DeWitt Nelson
8:00	Adjournment

The central agencies referred to in the program are agencies having either control functions over operating agencies or offering some service necessary to their effective operation. These agencies are the Attorney General's Office (offering legal services), the Controller's office, the Department of Finance (with its budget division, organization and management function, purchasing, housekeeping, etc.), the Personnel Board (with its classification, pay, examining, and training services), the State Library, the Division of Administrative Procedure, Compensation Insurance Fund, Industrial Safety Board, and, of course, the Governor's office itself.

The Governor's office in California is organized with 10 secretaries heading up major functions. These are top-salaried men of extremely high competence in their fields. A key man in this orientation conference is Charles W. Johnson, departmental secretary. He is the coordinator of all departmental activities for the Governor. This position has not always been effective. When established by former Governor Earl Warren, it was perhaps one of the keys to and great strengths of his internal administration.

Later, the departmental secretary's job became a holding operation to "keep the lid on" but, with the election of Governor Brown and the appointment of Johnson, it has taken on new vigor and strength. Indications are that it will give real vigor to state management and greatly assist in the needed coordination of a government employing 85,000 civil service workers exclusive of the university.

Along with the Governor, Johnson played a major role in putting the program together and is acting as the prime mover, master of ceremonies, and coordinator as the meeting proceeds. This is important. This is a job the Governor's office is doing itself. It is not a job that someone is doing for them, and they are benevolently permitting. (See James R. Bell, "A Coordinator for State Government Agencies," *Public Administration Review*, Spring, 1958.)

Orientation Booklet

A booklet has been prepared for use at the conference and for further study by attending administrators. This booklet contains the notes they will make at the conference, a section of "Information for New Directors." This is information on the services regularly performed or performed on request by the central agencies. In this, also, is the section on retirement, sick leave benefits, and other information useful to new appointees. Also included in the conference packet were the proceedings of a Stanford Conference conducted by the American and California Assembly on "California State Government—Its Tasks and Organization" and a booklet prepared by the California Department of Finance, "Organization of State Government—A Guide to Its Organization and Function."

Individual Consultation

A feature of the program which seems to be quite constructive is the consultation time scheduled each afternoon. This is time set aside for participants to explore specific problems with central agency officials on an individual basis.

Departments Provide Information

It should be noted that orientation of state officials neither began nor, it is hoped, will be stopped with this conference. Civil service officials in most departments have prepared information to assist new directors become acquainted with the organization. Departments vary somewhat in the degree and effectiveness with which this is done. In general, however, attempts in this direction have been commendable, and the following checklist is typical:

Departmental Orientation for Governor's Appointees

Checklist

a. What are the public services that your agency performs?
b. What are the present and future programs with which your agency is concerned?
c. Who are the key people in your organization? What are their functions? Where are they located geographically?
d. What are the groups with which these administrators will work?
e. What means does your organization administrator have to ascertain that your programs are being successfully carried out?
f. What are the major problems facing your organization at the present time?
g. What are the physical facilities of the organization, and how well do they meet the needs?
h. What are the resources available to communicate upwards, downwards, and horizontally in your organization?

Planning the Conference

How does such a conference come into being? This is a very difficult question to answer but perhaps some of the elements leading to it can be set forth. The critical factor, of course, is a newly elected governor with the political maturity and responsibility to participate in such a program.

This particular conference undoubtedly is indebted to the work reported by Rufus E. Miles, Jr., concerning orientation of presidential appointees.[1] Also, the Conference is the work of a department director, Richard A. McGee, who has been in the forefront of recognizing the need for better management practices in our state government; it is the work of the Personnel Board itself and of

[1] Rufus E. Miles, Jr., "The Orientation of Presidential Appointees," *Public Administration Review*, Winter, 1958.

the staff members of the Personnel Board; it has been encouraged by the thinking and support of many, many people in operating agencies and in the Department of Finance, and, of course, it would not have been possible without the enthusiastic endorsement and the hard work of the Governor's departmental secretary.

Was It Worthwhile?

What is it worth? Ask any corporate structure the size of the State of California government what it would mean to them to lose their president, their board of directors, much of their corporate staff, and the managers of their large divisions, and, in one day, start with an entirely new group. In this situation, I do not believe anyone would argue that, without heroic measures, any enterprise would suffer during such a transition. The State, of course, is blessed with a sound merit system staffed with career people who have the belief, justified or not, that their organization is one of the best public organizations in the world. With the new administration, civil servants are forced to show their maturity, also. They must realize their responsibilities in putting the policy of the new administration into the framework of action. At this point, it would be very easy to create a schism, a feeling of suspicion between the new bosses and the old subordinates. An understanding of state government certainly should prevent such a condition from developing.

In the past, we have seen the particularization of departments to the extent that one wondered how many governments were operating within the larger framework. In the past few years, management conferences, held regularly, have shown the value of bringing together the top men of all departments in California state government. This has contributed to the development of a coordination that has never before been accomplished.

The present governor's conference seems to be accomplishing this sense of unity even better. People here, after spending this time together, obviously are now acquainted and friendly and at this moment working toward a common purpose. They are able to look at their jobs with more meaning and to understand their place in what has been called this vast amorphous mountain of ectoplasm that is public service.

As I sit here at the conference, able to view what is happening as a bystander, I am probably infected with the enthusiasm of those in attendance. I know, of course, that only time can show whether the judgments as to the value of this meeting are correct, but, at this point, I would have no hesitation in saying I am sure they are.

The Use of Persuasion . . .

Plato, Aristotle, Cicero, and Quintilian, great minds of antiquity, were concerned with persuasion through the spoken word. How could man persuade others with words rather than with clubs and rocks, and, later, bullets? Is it not ridiculous to spend most of our billions for armament and pay so little attention to the use of persuasion that might make that armament unnecessary?

This attitude that there is nothing to learn about such a complicated art as oral persuasion persists in spite of the fact that men who exercise leadership through the spoken word have paid attention to perfecting their speaking ability. Governor C. William O'Neill of Ohio debated through high school and college. Governor Cecil Underwood of West Virginia debated also through high school and college. President Nathan Pusey of Harvard University debated through high school and college. Edward R. Murrow was a speech major at Washington State College.—From "Speech Traps, Learn To Speak Clearly," by Lionel Crocker, Professor of Speech, Denison University, Granville, Ohio, as reported in *Vital Speeches,* December 1, 1957.

An Evaluation of Michigan's Appeals Procedures

Melvin J. Segal

A feature of the Michigan system is that all members of the hearing board are outside of the state service.

ONE OF THE SUPPOSED ADVANTAGES of federalism is that various governments serve as experimental laboratories inventing different instruments to solve particular problems. Studies made in 1957-1958 by the Labor and Industrial Relations Center of Michigan State University* for the Michigan Civil Service Commission indicate that governmental units have, in fact, devised a bewildering assortment of procedures to solve the problems of employee appeals and grievances. Information for these studies was gathered from a variety of jurisdictions including the federal government, the Tennessee Valley Authority, the most populous states, and some of the largest cities. Seventeen of the jurisdictions filled out detailed questionnaires concerning their appeals and hearings procedures.

Each governmental unit differs from the others in respect to the structure of the hearings machinery and the type of cases which can be appealed. Three main approaches may be noted.

The first is negotiation capped by arbitration which is common to 90 per cent of the labor-management contracts found in private industry. The Tennessee Valley Authority and other proprietary governmental organizations, as well as a few municipalities, have similar machinery.[1]

The second approach is final adjudication by an appeal body independent of its commission. The Personnel Appeal Board of Connecticut is an example of this procedure. However, the Appeal Board does not handle examination or classification matters which cannot be appealed beyond the Personnel Director.

The third and most popular category covers machinery in which final decisions are made by or for civil service commissions. This broad subdivision may be divided into a variety of subgroups. The State of Michigan, with a hearing board consisting of members not otherwise associated with civil service, may be fitted in this category. The full-time hearing board employed by the United States Civil Service Commission is another subgroup. A third is the State Personnel Board of California, which employs a hearing officer for disciplinary and related types of appeals. The most common method is for appeals from operating agencies and civil service staffs to go directly to the commissions. Detroit, Los Angeles, Maryland, Minnesota, New Jersey, and Wisconsin are among the jurisdictions which follow this procedure.

All the civil service systems surveyed in this study have established formal appeals plans beyond the operating agency level for disciplinary cases. These procedures apply not only to dismissals but also to suspensions and demotions. Most of them also include appeals of performance ratings. However, 8 jurisdictions fail to provide for appeals on position reallocations and 10 do not permit hearings on examinations. Less than one-half of the reporting authorities require departments to operate formal grievance procedures within the agencies for settling disputes over working conditions and personal relationships.

The Michigan Experience

In 1941, the Michigan Civil Service Commission established a hearing board to hear

* The project was conducted by Dr. Charles C. Killingsworth, director, and the author, research associate, Labor and Industrial Relations Center, Michigan State University. Unless otherwise noted, the data presented in this article are taken from these studies. The opinions expressed in this paper are those of the author and do not necessarily represent the views of the Center or the Michigan Civil Service Commission.

all appeals including disciplinary matters, service ratings, classifications, and examinations. The board generally consists of three members and it meets at least once a month. The members are selected from a panel made up, at present, of lawyers, former state officials, a retired school superintendent, and a social work executive. There are no state employees or members of the Commission on the panel.

No types of appeals are excluded from the agenda of the hearing board except probationers' service ratings and non-discriminatory dismissals of probationary and provisional employees of less than 6 months' employment in the department.

Prehearing Investigations

An appellant must file a brief form with the Commission stating the nature of the appeal within 15 days after he is notified of the personnel action. In disciplinary appeals, it is the policy of the Commission staff to make prehearing investigations. An aggrieved individual discusses examination questions with responsible Commission staff members before an appeal is filed. Prior to an appeal before the hearing board, reallocation disputes are taken to a classification board which is a committee of senior staff members of the Commission acquainted with the technical aspects of classification. A statement of each case is prepared by the Commission staff for the hearing board.

Board hearings tend to be informal. Appellants may be represented by lawyers, union, or association officials. Both sides have the right to examine witnesses. Members of the Civil Service Commission staff are present to answer technical questions of the hearing board.

After hearing the case in Lansing, the board makes its decision. If either side is dissatisfied, an appeal may be made to the Commission. The Commission studies the testimony and conducts a hearing at which both parties and their representatives are present. The Commission's ruling can be carried to the Michigan Supreme Court.

Evaluation of the Michigan Procedures

A few appointing authorities tend to criticize the hearing board and the Commission for forcing them to take back allegedly unsatisfactory employees who have been dismissed. Actually, in only 17 per cent of the appealed cases are dismissed employees reinstated.[2]

Appeals procedures beyond the agency level restrain operating authorities from taking arbitrary or discriminatory disciplinary measures. They are encouraged to make careful investigations of alleged violations of discipline or of reports of inadequate performance. The hearing procedures may stimulate operating agencies to make use of their freedom to dismiss probationary employees of marginal merit.

In spite of the criticism noted above, there is considerable agreement in Michigan, and elsewhere, that there is a need for an appeals procedure for dismissal cases of classified employees because of the serious economic consequences to the individuals involved. By the same logic, it is generally agreed that all other disciplinary actions including demotions and suspensions should be subject to a hearings procedure beyond the agency levels. Service rating appeals are also defended because of their importance to the individual employee. In Michigan, conditional ratings adversely affect salary increments and may result in a dismissal. An unsatisfactory rating leads to discharge.

The advantages of a prehearing investigation of disciplinary and related appeals at the agency level by the staff of the Civil Service Commission have been widely accepted. As a result of such investigations, the issues have been clarified, and the number of disputes reduced. Likewise, the prehearing techniques for examination and classification appeals have proved useful.

Can Board Judge Technical Skills?

It is occasionally argued that appeals be limited to disciplinary cases, and that hearings before the board and Commission on other matters, such as classifications and examinations, be eliminated. A principal contention seems to be based on the grounds that classifications and examinations are highly technical affairs which lay hearing boards and commissions cannot evaluate intelligently.

While the administration of job classification systems and the production of exam-

inations require technical skills, neither is an exact science. In both areas, judgment factors play a significant role, and there is always the possibility of human error. The policy of some civil service commissions of leaving final decisions with their staffs, in effect requires the staff to pass judgement on its own work. It would be similar to a policy in which department officials had the final say on their disciplinary actions. In one case, the appointing authority is passing on its own decisions. In the other, the civil service commission staff is refereeing a dispute in which it is a participant.

The reviewing agency does not need the specialized training and experience of the technician in order to form reasonable opinions on whether or not substantial errors in judgment have been made. Even though such mistakes may be infrequent, it seems inappropriate to conclude that they never occur.

The need for a hearings system in these categories of cases is seen by the number of appeals. In Michigan, 20 per cent of all appeals in the average year concern examinations. During the fiscal year 1956-1957, classification appeals were 6 per cent of the total. If appellants were not to have their say in these areas, employee morale might suffer. Some thwarted employees would likely take their grievances to the governor, the legislature, the courts, or the general public.

Two Significant Features

A comparative analysis of the Michigan Civil Service procedures with the machinery of similar agencies indicates that the former has two significant features worthy of further study. In the first place, appellants may be heard in nearly all matters. Secondly, the hearing board consists of independent lay members who are not staff employees of the Civil Service Commission. Nor are they members of the Commission, with management responsibilities over staff employees.

No doubt there are some capricious appeals by neurotic individuals to the hearing board and to the Commission. An experienced hearing board can handle such cases briefly and effectively. Appeals of such nondisciplinary cases to the Commission can be reduced by deciding whether or not it should hold oral hearings. The Commission would be aided in such actions by pertinent and concise testimony as well as by clearly reasoned decisions of its hearing board. A hearing board can act effectively as a screening instrument to save the time of the Commission for more important matters.

Labor-Management Experience Needed

The conduct of hearings, the nature of the testimony, and the quality of decisions could be improved if persons with considerable experience in labor-management arbitration were added to the panel of the hearing board. There is reason to believe that much of the experience which labor-management arbitrators have gained in private industry is relevant to the public employment field.[3] Leading arbitrators have effectively coped with problems similar to those found in public employment. They are accustomed to call in and make use of specialists when they need information on the intricacies of particular industrial or company procedures and policies or on technical matters. While they could not make final decisions as in private industry, their opinions could be most useful to the parties, appointing authorities, personnel officers, the Commission, and employee organizations.

Grievance Procedures Not Statewide

The Michigan Civil Service Commission does not require that agencies under its jurisdiction establish grievance procedures. Consequently, some departments have created grievance machinery while others have not seen fit to do so. A few agencies have unworkable paper plans with a multiplicity of steps and other barriers which discourage even the most aggressive of the aggrieved employees.

There are departments in Michigan with excellent reputations for personnel relationships that lack formal grievance procedures. In these cases, appointing authorities and personnel officers have apparently kept the door open to dissatisfied employees. Their supervisors are trained to handle grievances effectively. It appears that a most significant factor in a successful grievance procedure is the confidence of the parties in one another.[4] This feature is more important than

mere mechanics. With employee-employer goodwill and understanding an agency can operate efficiently without a formal procedure. Lacking these conditions, grievance machinery will be ineffective.

Channel of Communications

Yet an effective grievance procedure, even though it is limited to working conditions at the department level, can improve personnel relationships. If employees know that there is an equitable operating plan to which they may take their complaints, they will tend to have a greater feeling of job security than if there were no procedure. Such a plan furnishes a channel of communications between employees and management.

While the successful procedures at the Tennessee Valley Authority and in the city of Philadelphia are the result of collective bargaining, there is evidence in Milwaukee, New York City, and elsewhere[5] that effective plans can be adopted without union contracts. Under such circumstances, the central personnel agency must take the lead in drawing up and enforcing standards. The following requirements should be included:

1. Aggrieved employees are guaranteed protection against reprisals;
2. Training programs for handling grievances are instituted;
3. Employee organizations are consulted in the establishment and maintenance of the plans;
4. Employee representation in the handling of grievances is permitted;
5. The final hearing is by a body which is considered independent of management;
6. There are a limited number of steps and reasonable time limitations.

Conclusions

The appeals and hearings procedures devised by the Michigan Civil Service Commission are noteworthy in two respects: (1) Practically all questions may be appealed to the hearing board and the Commission, and (2) the hearing board has a certain amount of independence inasmuch as it is made up of laymen who are not civil servants nor members of the Commission responsible for its management. The quality of the hearings and decisions could probably be improved if arbitrators with extensive experience in handling labor-management disputes were added to the hearing board panel.

Experiments of other jurisdictions seem to indicate that employer-employee relations may be improved if civil service commissions required operating agencies to establish and maintain effective grievance procedures for handling complaints over working conditions and interpersonal relationships.

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4. Louis J. VanMol, "Effective Procedures for the Handling of Employee Grievances," *Personnel Report Series, No. 531* (Chicago: Civil Service Assembly, 1953), p. 24.

5. Russell E. McClure and Hugo Wall, "Handling Employee Grievances in Wichita," *Public Personnel Review,* July, 1947, p. 127. For information on the federal experience, see Daniel C. Knapp, "Administering Federal Grievance Procedures," *Public Personnel Review,* April, 1947, p. 96.

Annual Report on Color Slides . . .

Merced, California, has completed the production of its annual report which is a 20-minute long, tape recorded narrative, accompanied by colored slides. The report's theme is the value of the many municipal services to citizens measured against the cost of these services. A city fireman did the photography on his own time, the city manager did the narration, and the city attorney, who is an amateur electronics expert, did the recording. The total cost was approximately \$100.—Adapted from *Public Management,* November, 1958.

Politics and Administration: An Anniversary Appraisal

Robert E. Merriam

A White House aide spotlights the problems involved in relating merit system practices to the policies of the current administration.

THROUGH A SEQUENCE of unexpected events, I find myself coming before you as a sample of an important dilemma in modern-day democratic government, namely, the reconciliation of our compelling desire for an effective merit system with the need for live, dynamic, responsive political parties.

When I accepted your kind invitation to address this Conference, I was a Hatched-in, albeit presidentially appointed, member of the Bureau of the Budget staff. But now I find myself appearing before you as a member of the President's immediate staff, and on the eve of my first political speech (tonight, not now) in over 3 years. I am unHatched, unharnessed, but I hope, unchanged in my outlook towards our common problems.

I mention these personal details only because they perhaps symbolize the perpetual problem of reconciling politics and administration. I am further emboldened to mention my own activities because I have been privileged to observe and participate in our governmental operations at all levels: as a teacher and author; in the precinct and ward where politics is really rooted; as a part of our city and state government; in the nation's capital both as civil servant and political appointee; and even in the United Nations. And for eight of these years I served in a legislative capacity.

From this varied and sometimes confusing past I have developed some rather definite ideas about government service and, with your indulgence, would like to share them with you on this, the 75th anniversary of the birth of civil service. But first a few additional words by way of background.

* * *

Anyone who takes more than a casual look at government today inevitably must be impressed, if not overwhelmed, by the enormity of the problems we face. One cannot fail to be staggered by the size of the mechanism we have constructed to deal with these problems. With nearly 8,000,000 civilian governmental employees in localities, the state, and the federal system, and payrolls totalling in the tens of billions, with problems from mosquito abatement to the Formosa Straits, with 100,000 different governmental units in this country spending well over $100 billion a year, there should be little doubt in anyone's mind that we are in an era of big government. Nor should there be much doubt that the era of big government—be it local, state, or national—seems here to stay.

We in this country are fortunate that a wise group of men were gathered together 180 years ago and drew up the finest political document ever written. Our Constitution has withstood the acid test of civil war, two world wars, a world depression, and an unbelievable industrial revolution.

New problems and new challenges arise today as they will tomorrow. New tests of authority, new interpretations of meaning, all have been a part of the flexibility which is the crux of our Constitution. But we have found the means to govern ourselves effectively, to reach decisions peacefully, and to determine from time to time who shall govern and what shall be our policies.

One major ingredient has been grafted

Address given at the 1958 International Conference of the Public Personnel Association. Mr. Merriam is deputy assistant to President Eisenhower on interdepartmental affairs.

onto our Constitutional system. It evolved inexorably, even during the first non-partisan administration of George Washington. This is our unique system of political parties. Most people are startled when informed that nowhere in the Constitution are political parties mentioned. And yet today, the party system and the many laws establishing it are firmly ingrained in the American way of governing. And may it ever be so.

Politics: The Art of Government

Politics as a word and as a process should constantly be before every one of us. It should not be thought of as an unsavory business to be engaged in by "professionals" only. A man or woman should be able to—and want to—hold his head high and say that he is a politician. For politics in its true sense is the art of government. And yet all too often the word itself is used by many as a term of derogation. How many people do you know that want no part of politics, politicians, party activities, and even of voting? How many friends or acquaintances do you have who are willing to volunteer of their time or money to engage in political activity? How many civil servants deride, make fun of, or even obstruct their political superiors?

Just as we need the ablest, most honorable, most devoted people we can find to fill the nearly 8,000,000 government jobs, so, too, do we need men and women with the same high capabilities to fill the 1,000,000 elective offices and the many thousands of party positions directly operating the machinery of our two great political parties. And most important of all, there must be an understanding both by politicians and careerists of the vital role of each group. Both are a part of the same process. Both are needed. And both are often misunderstood by the public generally.

Political Appointments vs. Civil Service

Political appointments, of course, preceded the civil service system. For a long time there was no conflict because it became accepted that "to the victor belongs the spoils." And ever since those Jacksonian days, party leaders, always troubled by the lack of volunteer workers, have looked longingly towards the public payroll as a source of workers. In the last 75 years we have seen the gradual replacement of political appointees by civil servants. In the federal service alone there has been a 150-fold increase in the percentage of employees covered by the competitive civil service system. A similar, although generally less comprehensive, development has taken place in State and local governments.

Now, it seems to me, we must find ways to blend in the best possible mix the good of both systems—political appointment and civil service. We must determine what should be the dividing line between politics and administration; how policymakers can operate most effectively; how we maintain, at the same time, merit appointment and political control of policy. We must develop ways to recruit qualified people for government service at both political and career levels. In short, one of our greatest problems in the always-difficult art of self government is to determine how both political appointee and civil servant can be of best help to the chief executive in determining government actions needed to meet the problems of modern-day living.

In looking at these problems, I particularly want to comment on three phases of this question:

1. Ways to make government service more attractive;
2. Ways to keep the administrative machinery of government responsive to the policymakers and the public;
3. Ways to help the chief executive carry out his responsibilities in the field of personnel management.

Ways to make government service more attractive

First, let me say that 3 years in Washington has increased even further my respect for the caliber and devotion of career government workers. I known that terms of derogation are applied to career employees almost with as much frequency as to the politician himself. (This, in itself, should build up a kinship between the two.)

The word "bureaucrat" is a favorite expression of contempt in some quarters. But

I wonder how many people know what some of these so-called "bureaucrats" in Washington do.

Wernher von Braun is one of the world's leading experts on rocketry. He's a "bureaucrat"! William B. McLean, a "bureaucrat," is technical director of the U. S. Naval Ordnance Test Station in California. It was he whose conception and development of the Sidewinder Guided Missile Weapon System won him a Presidential Award for Distinguished Federal Civilian Service this year. McLean, with three degrees from California Institute of Technology, has been in the federal service since 1941. Dr. Keith Jensen was another "bureaucrat," as head of the Respiratory Disease Unit of the Communicable Disease Center, Department of Health, Education, and Welfare. Last year he was picked as one of the 10 outstanding young men of the country because of his work on influenza viruses including the Asian strain. But Dr. Jensen, after 2 years with the federal government, went into private industry, possibly, in part, because his government salary was $10,320.

Widen the Salary Differential

The growing problem is how to attract young men into government service to perform these tasks—and thousands more. What motivates a person to make government a career? Salary certainly is one factor. At the lower salary levels, government compares favorably with the rates found in private industry. But the higher one goes on the ladder, the poorer becomes the comparison. Dr. von Braun receives $19,000 a year from the government. Mr. McLean receives $18,000. And because in so many jurisdictions salaries are set through the legislative process, it is only inevitable that the greatest pressures always come for increases in salaries of the lower grades. And the last to receive consideration are the top executives!

The compression which has occurred in the federal government as a result of this practice is illustrated by the following: In 1939, the top salary step in the civil service received nine times the salary of the lowest grade; today that ratio is less than 5 to 1. When I was a member of the Chicago City Council, I used to comment every year that our patrolmen, who do not have a union, received smaller increases than the elevator operators, who do. This is not to deprecate elevator operators (who belong to a rising profession), but rather to point out the problems which arise when salaries are set by legislative action.

This year the Eisenhower Administration presented, for the first time in the federal government's history, a rounded package of suggestions concerning rates for all of the major statutory pay systems in the federal service. But how does one get intelligent consideration of this complex morass when there are over 300 statutes on the subject of pay and pay systems?

This year we suggested eliminating some of the compression at the top of the career pay scale (although even this proposal was hampered by the fact that a differential had to be maintained between the top of the classified service and the beginning of the statutory non-career service, the assistant secretary level). We urged greater incentives for promotion, a higher entrance rate for the college graduate, a removal of the limitation on the number of so-called supergrades, and provisions to permit in-hiring at steps above the minimum in order to attract exceptionally qualified people.

Of all these suggestions, the Congress accepted in whole only the higher entrance rate for college graduates.

Increase Incentives

Other types of incentives must also be sought if government is to compete successfully for the new worker. Generally speaking, the so-called standard fringe benefits like sick leave, vacations, and retirement funds are comparable in government and industry. But are we looking far enough ahead? Is there enough effective research to discover what other motivations might be tapped to attract and keep government employees (as a former Budget officer I would, of course, stress those that don't cost any money)?

What about employee development programs? How do we systematically identify superior ability among employees? Would a "phasing-out" retirement, such as recently

suggested, help? What about incentive awards?

I know that each of you can cite some examples to show that government personnel programs are adjusting to meet recognized motivations and to compete with modern business practices. The recent federal training legislation, sponsored by the President, is a case in point. President Eisenhower's proposal at the last session of Congress for a Joint Commission on Civil Employee Compensation Policy is another case in point. By calling on a broadly representative group to study all federal personnel systems—including those in the legislative and judicial branches—the President hopes that some order can be made out of the present jumbled situation.

But is real imagination being used to attract non-career policy makers? My conclusion would be that we have just scratched the surface as far as career employees are concerned and haven't even fully recognized that there is a problem for the non-careerists. Ironic as it may seem, our big problem over-all is to make people realize that *their* government requires *their* continuing interest.

Ways to keep the administrative machinery of government responsive to the policy-makers and the public

Prior to 1884, neither the size of the federal government nor the method of selecting personnel presented any problem of political responsiveness—there weren't many employees and there was no merit system. Everyone was responsive—to the party in power. When, as in 1790, for example, the federal government had 1,273 military and less than 1,000 civilian employees, "control" was easy. Total federal government expenditures that year were $2,000,000. By 1850, federal personnel had swelled to "gargantuan" size—20,658 military personnel and 33,300 civilians. And even in 1884, there were only 39,400 military and 131,208 civilian employees of the federal government. Of these, 13,780 civilians were placed in the competitive civil service.

Today, as we know, the federal government has nearly 2,400,000 civilian employees, of whom 90 percent (within the continental limits) are in the competitive civil service, and many others in the parallel merit plans. Is it any wonder that our problems have changed? Now we must be concerned lest the civil servants overshadow the politicians! But have the personnel mechanisms kept apace of these changing conditions?

The initial civil service laws were essentially negative in character. They were born in large measure out of revulsion against the use of government employment for patronage appointments, and the specific shock at the death of a president at the hands of a disappointed officeseeker. For a long time, as we all know, the notion of a competitive career service had rough going. It was assailed in many different ways by many varied forces. The politicians chafed at the restrictions on appointments. Interest groups bridled at the "detachment" of civil servants. But a sometimes bewildered public, headed by a few strong-willed individuals and groups, stuck by their guns until, today, the merit system is firmly entrenched. It is only a matter of historical interest that the marriage was a shotgun affair.

Modernize the Merit System

I would hope that we have now reached the stage of maturity where we can take a rational look at where we go from here without being suspected of attempting to sabotage the firmly established principle of merit appointment. Of course, we should be eternally vigilant to prevent backsliding, but far more important is the ability to adapt successfully the merit principle to today's government. In this process we must first re-evaluate the civil service system to see how it can be converted from one born out of a negative philosophy to a positive instrument for aid in formulation and execution of government policy.

In this regard, while we should continue the effort to expand the merit principle "outward" and "downward," I think we should seriously and objectively raise the question whether the traditional effort for "upward" expansion of civil service coverage is always advisable. Would it be heresy to suggest, for example, that merit appointment should extend upward only as far as

continuity and technical expertise will give a net benefit to the people?

Any administration—the political party in charge of the executive branch of government—has real need to fill that combination of positions required to provide vigorous direction of departmental functions in accordance with its policies, to provide the career personnel with adequate and responsible clarification of policy, and to insure the loyalty of career and political staff to administration policies. While definition of this entitlement in terms of specific positions always is difficult and is subject to continuous re-evaluation, it can be made.

The report of the Second Hoover Commission's task force on Personnel and Civil Service provides some guides as to where the line should be drawn, in the federal service, at least, between the positions which should be held by career executives, and those which should be filled by non-career appointees. These guides might be equally useful in state and local jurisdictions.

Sabotage Is Out

The difficulty in delineating between political and career is compounded by variations among individuals. If an employee at top career levels is so constituted that he can accept redirection of his efforts in the manner indicated by an incoming administration, there is no problem. There have been instances, however, where an employee at a responsible policy level has an attachment to the program or philosophy of an outgoing administration which is so great that he cannot accept any change—sometimes even to the point where he considers it his mission to remain to resist and impede the programs of the new responsible political officials. No administration should be forced to accept sabotage of its program by such individuals, be they civil servants or not. Such conduct is a negation of the democratic process.

It seems to boil down to this: Career employees, particularly those in top policy posts, must conscientiously try to understand the program and goals of a new administration and do everything within their power to make those programs work. If they can't conscientiously do this, they should—in my opinion—seek a less politically sensitive assignment. The administration, on the other hand, has a responsibility to clearly enunciate its programs and make certain that both employees and the interest groups their agency serves understand the new administration's policies. A new administration should recognize by evidence of trust when its directions are being loyally accepted by the careerists.

Political Control of Policymaking

Finally, the political parties and those who advocate more effective control of the machinery of government by the party in power must also accept a more positive role. It means selection of qualified policymakers. It means wrestling with the awesome problems of turnover. It means the establishment of systematic orientation programs for non-career executives. The newly appointed non-career executive must acquire much knowledge before he can be expected to perform effectively. Such an orientation program is now being instituted on a formal basis in the federal establishment.

You as leaders in the government personnel field can be of immeasurable assistance in many of these difficult tasks. First, by seeing that the careerists recognize, willingly and understandingly, the principle of political control of policymaking, you can make the job of the political policymaker that much easier. Secondly, you can help develop an atmosphere in which civil servants will automatically do everything they can to assist the political appointee: by giving him their best advice, by warning of pitfalls, by being completely frank—not by holding back some choice facts.

Public Can Help Recruit

The public generally can help get the best non-career people by encouraging qualified persons to enter government service. One of the healthy signs on the horizon is the attention which business, labor, and the academic community are devoting to the need for leadership training.

The administrative machinery of government can and will be responsive to the

policymakers and the public when the right demarcation line is drawn between political and administrative, when the careerists know what the party in power wants, and when the public insists both on good civil servants and good political appointments.

Ways to help the chief executive carry out his responsibilities in the field of personnel management

Finally, I want to say a few words about the location of the personnel function in the executive hierarchy. Once again we find distrust of the "politician" shaping our decisions.

Through the years, we have seen many increases in the functions of the civil service agencies. In the federal service, by terms of the Civil Service Act, the Civil Service Commission's original task—on behalf of the president—was to assist him in establishing a merit system of appointments to keep the rascals out. In accord with that purpose, the Commission was authorized to regulate and conduct open competitive entrance examinations. Under the 1883 Act, it was given no responsibilities in connection with pay or employee benefits; and most of the currently-recognized functions of modern personnel management were not even considered or developed.

As the years passed and these new aspects of federal personnel management developed, many of them were assigned directly by the Congress to the Civil Service Commission. In sequence, the Commission was given responsibility for establishing a system of efficiency ratings for the classified service; for hearing appeals in removal cases; to make investigative checks on the character of applicants (all in 1927); to administer a pay system under the Classification Act (1932); to administer the Civil Service Retirement Act (1934); to "police" the Hatch Act "anti-politics" requirements (1939 and 1940); to administer the Veterans' Preference Act (1944); to carry out additional pay responsibilities under the Federal Employees' Pay Act (1945); to carry out an inspection activity (1947); and to administer the Incentive Awards Act and the Group Life Insurance Act (1954).

Similar expansions occurred in the responsibility of the Civil Service Commission in other jurisdictions. In summary, the original and basic task assigned to the Civil Service Commission to "assist" the chief executive "as he may request" in assuring adherence to the merit principle has become heavily overlaid with varied operating duties.

Additional Authority for President

While reviewing these additional functions assigned the United States Civil Service Commission, I was struck by the fact that most are in the nature of controls, limitations, or requirements placed upon management; some were of the nature of standardized benefits applying to employees of most operating agencies. Almost none of these additions to the personnel function broadened the leadership role of the president and agency heads. The Federal Employees Training Act, approved at the last session of Congress, was the first legislation designed to provide the President and department heads with additional authority for the conduct of their basic managerial functions with respect to personnel management. Even this bill included many specific limitations to executive authority.

Thus it appears that in the process of stopping the spoils system, the authority to hire—and in some measure to fire—also was largely taken away from the chief executives and their department heads. But 75 years have now passed. The problems of today are not the same as those of 1883. Is the traditional attitude of outside merit enforcement agency control over line management still appropriate in the appointment and other personnel processes, or should traditional attitudes be modified? In recent years, each of the three original civil service systems now celebrating their 75th anniversaries have been reappraised from this standpoint.

The report of the Temporary State Commission to study the organization of the government of the City of New York in its report, "Four Steps to Better Government of New York City" (September 1953) contained rather comprehensive denunciations of the City's civil service system. It stated:

> In the first place, the Mayor gets little

managerial help from existing civil service machinery. . . . In the second place, present personnel practices, instead of raising the standards of administrative performance and facilitating the work of the line departments and agencies, have developed into a hindrance. . . . In the third place, the present personnel system has not afforded the employees of the city the protection and career opportunities for which they look to the "Civil Service" as their principal guarantee. . . . Finally, the public relies on the civil service system to guard against the re-emergence of the spoils system; the civil service system has failed the public, too. Indeed, the Mayor's Committee (on Management Survey) asserted that "what we now call the 'Civil Service System' stands in the way of a real merit system". . . . In sum, neither the mayor, the department heads, the city employees, nor the public are now getting from the traditional civil service system the things they had hoped for.

In relation to the New York State civil service system, the State Commission on Coordination of State Activities, in its report on "The Department of Civil Service, the Overhead Organization" (1952) concludes (p. 13) that:

> The chief executive, who bears the principal responsibility for the administration of state government, is deprived of full and direct control over personnel management and, by the same token, cannot be held responsible for it. Efficient conduct of the state's business demands that responsibility for personnel management rest directly with the chief executive and that whatever central agency is charged with operation of that function must not only enjoy his full confidence but also be fully responsible to him.

Even earlier, in 1937, at the federal level, the President's Committee on Administrative Management said:

> The civil-service administration should be reorganized into a central personnel agency under a single head and a nonpartisan citizen board appointed to serve as a watchdog of the merit system. . . . After more than 50 years of experience with civil service in federal, state, and local governments, there is overwhelming evidence to show that the original theory of merely protecting appointments from political influence through a legalistic system of civil-service administration is inadequate to serve democratic government under modern conditions. There is still need for protection, but the urgent new need today is for the development of a real career service through positive, constructive, modern personnel administration.

Numerous other reports on federal personnel programs since then have emphasized that personnel management is a part of the responsibility of the chief executive, and, below him, of line officials throughout government. The findings of the American Assembly in 1954 stated it this way:

> The size of the federal government makes essential the decentralization of personnel operations. Each agency head must be held fully responsible for the management of his agency. Personnel administration is an integral part of management. In the administration of personnel activities, department heads should be limited only by necessary governmentwide policies.

More recently, a report to a United States Senate Committee also urged sweeping revisions in the Civil Service Act and concentration of the personnel function in the president's office. Hearings were held this year on bills to achieve that objective.

These rumblings come not from spoilsmen intent on destroying the merit principle, but rather from sincere, devoted, and largely non-partisan advocates of the merit system who have become disturbed by the rigid and cumbersome procedures which have grown up in the administration of personnel programs. They reflect concern at a growing tendency on the part of civil service agencies to concentrate on the "form" rather than the "substance" of administration.

Improvement in Selection Practices

There have arisen valid questions as to whether the present requirements of many civil service jurisdictions actually contribute to the impartial selection of the most competent employees for appointment or promotion, or whether such selection might be accomplished more effectively by other, perhaps less cumbersome, means. The new space agency and the new aviation agency, for example, have unique recruitment problems with which we are just beginning to wrestle. It is encouraging that in establishing both these new agencies, Congress has provided more than the usual flexibility in personnel matters.

These and other studies reflect concern lest, in our protective zeal to "insulate" the administration of civil service, we deprive the chief executive of effective use of one of his major management tools—personnel management. This concern has led to numerous recommendations to place responsibility for personnel management in an office of personnel director responsible to the chief executive, a procedure which many jurisdictions represented here today have already adopted. Most of these studies have also proposed that civil service commissions be converted to independent "watchdog" commissions with responsibility to assure compliance with merit principles, to review personnel rules to assure that they do not violate those principles, to adjudicate complaints and appeals, and to report to the legislative body, the executive, and the public on the state of the merit system in the particular jurisdiction.

Neither this nor any other individual recommendation will be a cure-all for government personnel problems. However, I am sure that space-age adherents to the merit principle will continue to search for whatever techniques are needed to accomplish our mutual goal—the most effective and responsive government service we can create.

Personnel Practices Must Keep Pace

These random observations are designed more to raise questions with you than to provide pat answers. Of one thing I am certain: personnel organization, policies, and procedures must keep up with the age in which we now live. I believe we have the imagination and inventiveness in personnel management to continue providing government with the know-how to enable us to do these new jobs just as we have adjusted in the past. But if we are to succeed in the process, some timeworn ideas may have to be discarded. What better reason can there be for anniversaries?

Save on Postage . . .

To offset recent postal rate increases, examine your daily mailing practices. A look around may reveal several ways to effect economies.

This checklist will suggest some rules for minimum mailing costs with optimum service:

1. Use third-class whenever possible for bulk mailings.
2. In most cases, don't use air mail or special delivery on Fridays or the day before a holiday. Regular mail will arrive just as fast to most destinations.
3. Do not air mail to cities within 450 miles or to points with infrequent or no airline service.
4. Avoid paying first-class rates on heavy letter enclosures. Send separately via parcel post or use two-compartment envelopes. With the latter you get first class service, while the bulky matter enjoys third or fourth class rates. These duo-envelopes also save double addressing.
5. Use certified mail rather than registered mail whenever possible.
6. Don't use special delivery for parcel post when special handling will do. The latter is very often just as fast.
7. Self-insure parcel post.
8. Don't send books fourth-class. They enjoy a special low book rate of nine cents for the first pound, five cents for each additional pound.
9. Remember, using postal zones will speed up delivery on any mail without extra cost.—*Management Methods*, September, 1958.

Management and Employee Motivation

Robert K. Burns

The difference between what men can do and will do is often reduced to the factor of motivation.

How to motivate men in getting work done remains one of the great unexplored areas of American management. Not enough research has been done in this area, nor has there been enough application of what is already known. However, it is indeed encouraging to note the growing interest in strengthening motivation through better management and investigating what can be done in terms of best thinking and practice.

Certainly, in our economy, motivation is of crucial importance since management control derives from consent rather than coercion and seeks to emphasize individuality rather than conformity. Indeed, of the really critical problems facing the American economy, motivation is the common thread woven through all of them. In the cold war with the Communists, motivation is involved in building understanding and identification among our own people in terms of basic objectives and the operation of our economy. In the long-term fight against inflation and a rising price level, increasing productivity and greater output per unit of input depends in no small degree upon greater motivation at all levels of the work relationship.

In truth, the difference between what men can do and what they do do in a given situation is often reduced to the factor of motivation.

The Meaning of Motivation

Let us consider briefly the nature and meaning of motivation. Essentially, motivation is made up of two aspects—first, basic needs that individuals have and, second, a conscious effort to gratify and satisfy them. Motivation, then, means directed behavior to satisfy needs—action that is not habitual or customary.

Obviously, not all behavior is motivated. Some actions can be explained in such terms as punctuality, considerateness, tolerance, and the like, which indicate, not the ends a man seeks, but rather the ways, the rules, the type of regulation, and conduct he follows in pursuing them. The ways in which he pursues his ends and does things may be governed by norms of efficiency and consistency in which case the insights and mechanics, economics and psychology, are particularly useful. Or his actions may be governed by norms and standards of social appropriateness—where the insights of anthropology and sociology are helpful.

Motivation, then, involves a particular type of reason for action of a very specific and directed sort. Motivation starts with basic needs, and it is the needs that help to explain the action that is taken to satisfy them.

The Social-Cultural Framework Which Influences Motivation

Broad underlying social and cultural values in America help to influence and determine needs of individuals and their behavior.[1] These must be understood if we are to sense the essence of the motivation process in the work situation. Some of these may be stated briefly as follows:

1. An emphasis upon achievement and success, particularly occupational achievement, the acquisition of intellectual skills and competence, and a tendency to equate personal excellence

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Paper presented at the 1958 International Conference on Public Personnel Administration.

[1] Robin M. Williams, Jr., *American Society* (New York: Alfred A. Knopf, Inc., 1951), pp. 388-440, and Louis J. Halle, *Civilization and Foreign Policy* (New York: Harper & Brothers, Inc., 1955), pp. 21-30.

with competitive achievement measured in terms of income, property, wealth, prestige, and power.

2. An orientation toward action, efficiency, and the practical—with the tendency to view work as an end in itself.
3. A faith in change and progress with a tendency to identify change with progress.
4. An insistence upon equality of opportunity which decries extreme inequality and frowns upon privileges not attained by effort.
5. An emphasis upon freedom as a basic value with an implicit suspicion of centralized authority and a preference for objective and impersonal social controls of behavior rather than bureaucratic controls vested in specific persons.
6. A tendency to judge conduct as right or wrong, ethical or unethical, stemming, no doubt, from early American Puritanism and teachings rooted in the Greco-Roman-Christian tradition.
7. Our combination of natural resources, technological accomplishment, social mobility, and our emphasis upon success and equality, has promoted materialism, a preoccupation with "creature comforts" and needs, and a somewhat materialistic measurement of happiness and progress.

Most Americans share these cultural and social values, and these values in turn serve as the foundation on which they organize their activities and define their need structures and motivational pattern, as well as guide their choice of ends and means.

A Typology of Needs

Let us consider what might be termed the continuum of needs and distinguish some of the basic types that are involved. It will be found that these basic needs affect people continuously but differentially, depending upon the situation in which they find themselves. More important, there is a basic priority of needs that we try to satisfy. Only after 1st order needs have been met, do the 2nd order needs begin to influence and dominate our actions. Similarly, after 2nd order needs have been satisfied, then 3rd order needs emerge and exert their force.

1st order or primary needs—which have the highest priority, are, of course, the *physical needs.* These are of two types:

1. *Physiological needs*—to satisfy the individual's need for hunger he seeks food, for thirst he needs water, for breathing he requires oxygen. This is basically the need to be alive and stay alive.
2. *Occupational needs*—to have in the work situation the necessary heat, ventilation, illumination, cleanliness, and safety and health safeguards on the job. Without provision for these, the 2nd order of needs cannot operate.

2nd order or situational needs—include four subgroups:

1. The need for *security* and surety—both economic and emotional.
2. The need for *opportunity* and growth.
3. The need for *acceptance* and belonging.
4. The need for *recognition* and respect.

Taken together the first letters of these four needs—security, opportunity, acceptance, and recognition, spell *soar*—which is what happens to the motivation of men if these needs are met on the job.

Let us review these briefly in terms of their characteristics, ways of recognizing them, and what management can do to help satisfy them.

The need for security and some degree of surety may be both economic and emotional in character. From the economic point of view, individuals seek to meet current needs through maintaining their employment and income. They may also seek to provide for the future in terms of a higher standard of living as well as more security through savings, insurance, pensions, and other welfare programs.

Management can help meet economic security needs through effective programs of wage and salary administration, through its

efforts to regularize and stabilize employment and income, and through appropriate employee benefit programs.

Another form of security is essentially emotional and comes from confidence in maintaining acceptable and relatively stable relationships growing out of work requirements as well as relationships with the boss and the organization. The lack of adequate emotional security in extreme cases may give rise to organic disturbance, affecting an individual. In Europe, for example, the executive with ulcers is said to have manager sickness, caused, it is said, not by what he is eating, but by what is eating him.

Management can help meet emotional security needs of employees by adequate and understandable company policies, rules, and procedures; by workable programs of communication; by trained supervision, skillful in employee relations, in human relations, in inaugurating change, and in handling other problems.

The need for opportunity and growth is felt by individuals in varying degrees at various ages in their lives. It is probably safe to say that the great majority of people have a strong desire to learn, develop, and to become more fully functioning. If they are denied this, like any living thing, they tend to become thwarted, frustrated, and perhaps maladjusted in terms of their attitudes and behavior.

Management can help meet the individual's need for opportunity and growth through careful selection and matching of the man to the job; through effective training, transfer, and promotion; through adequate supervision and coaching; and by encouraging individual initiative through the fostering of self-directed self-development.

The need for acceptance and belonging. Few people live or work in isolation. We are all functioning members of the different groups—family groups, religious groups, fraternal groups, and work groups—both formal and informal. We seek to satisfy the need to be social and to find worthy group activity by joining these groups and participating in their activities. Some individuals have stronger needs of this type than others, some are more capable of meeting and socializing than others, some have more difficulty in experiencing and satisfying these needs than others.

Management can help individuals meet these needs by effective programs of employee induction and orientation, by careful placement and the congenial grouping of people, by promoting friendliness and cooperation in the work situation, by accepting people and their problems for what they are in terms of trying to understand and help them solve their problems.

The need for recognition and respect. In understanding human behavior we have come to realize the importance of the self and how the self image, the sense of self-esteem and self-worth influences the individual and his actions. We also know that recognition is important to many people—the need to say and do things that will bring them attention, satisfaction, and a sense of appreciation. Many individuals in a work situation try to satisfy the need for recognition and self-respect through directed efforts to improve their position, to increase their power, and to attain a higher status. Similarly, some individuals exhibit strong drives for greater responsibility and power over their own situation, to be more important, to be more independent, and to make people more dependent upon them. Finally, to some individuals the factor of a clear conscience and living and working in terms of a basic personal code helps to explain their individual actions in terms of such standards.

Management can help individuals meet their needs for recognition and self-respect by encouraging unique effort and achievement; by reviewing performance and recognizing work well done; by honors and promotions based on merit; by setting objectives, formulating plans, clarifying job duties, and reviewing systematically their progress and performance.

In summary, we have discussed some basic situational needs of individuals—the need for security, opportunity, acceptance and recognition. These constitute a 2nd order of needs that do not come into operation until those of the 1st order—the physical-biological needs—have been satisfied. After that, and only after that, do they become dominant. When these have been satis-

fied, the 3rd order or operational needs take effect.

The 3rd order or operational needs—these stem more directly and specifically from the work itself and the individual's relation to it.

In terms of the work itself, most individuals want to know and understand the requirements of the job, what is expected of them, and how they stand in getting it done. This suggests that management should:

1. Formulate and communicate departmental objectives and plans;
2. Clarify the functions and responsibilities of the individual;
3. Review work progress and problems encountered in getting work done;
4. Provide some opportunity to analyze and act on the problems that come up on the job.

Finally there is the need that people have to like their work. For the most part, comparatively little attention is given to trying to match the man to the kind of work he likes to do. There are many cases of salesmen who do not like to sell; of persons bored and frustrated in office jobs who hurry home to their mechanical workshops; those who turn from the routine, monotony, and lack of challenge of the assembly line to after-work avocations, activities, and hobbies to find satisfaction and gratification of their needs.

Yet, it is a truism that people tend to do best the things they like best to do. It is also true that greater motivation will usually result in greater productivity if men have a deep liking and attachment for their work and find fulfillment in doing it.

It should be stated that the 3rd order operational needs do not come into play until the higher order physical and situational needs have been satisfied. For most men, their basic needs for security, opportunity, acceptance, and recognition must be satisfied before the operational needs become pressing and controlling. Indeed, the importance of these operational needs are less apparent than the situational or physical needs. The reason is that we have been so busy trying to satisfy 1st and 2nd order needs—the physical and situational—that the 3rd order operational needs have been relatively neglected even though they influence most of us.

Let us turn now to a brief sketch of the process of motivation and how it operates.

The Process of Motivation

The working of motivation in a given situation begins with its needs aspect. These can be classified, as we have indicated, into three areas or three levels of priority:

1. Physical needs—to be alive and stay alive.
2. Situational needs—of security, opportunity, acceptance, and recognition.
3. Operational needs—the need for an effective job-man relationship.

In addition to the needs aspect of motivation, the other important aspect is the satisfaction or gratification aspect.[2] By this we mean the extent to which an individual experiences satisfaction and fulfillment of his needs due to effort and action by himself and others.

Different people encounter different difficulties in satisfying their needs in the work situation. Three types of barriers might be indicated:

1. **The Can-Do Factors**—The extent to which the individual possesses:
   a. *Intelligence*—or over-all potential.
   b. *Aptitude*—or specific potential; and
   c. *Skill*—or developed potential required to satisfy his situational and operational needs.
   d. *Experience*—or seasoned potential utilized over time.
2. **The Will-Do Factors**—The extent to which the person possesses the required attitudes, work habits, and emotional maturity to be able to satisfy his needs.
3. **The Unable-To-Do Factors**—The extent to which the person finds himself unable to satisfy his needs because of the intrusion of rules, regulations and company policy, interpersonal relationships, interdepartmental considerations,

[2] I am indebted to my colleague, Dr. George Baehr, for ideas he contributed to this section.

the factor of timing, and other external forces that limit his effort and action.

These factors may support or hinder the motivation process. In certain instances where the individual is incapable of meeting his pressing needs because of limitation on what he can do, will do, or finds himself unable to do, he may experience frustration. This may result in mild forms of aggressive and hostile behavior or it may take more serious forms of rigidity, fixation, and stubbornness toward improvement and change, or signs of regression, immaturity, resignation, and withdrawal.

It should be stated that a condition of frustration precludes constructive motivation. Indeed, frustration and motivation are two opposite and conflicting states. Before a person can be motivated, his frustration must be relieved and dissipated. In facing these barriers to gratifying needs, management can help individuals find substitute satisfactions through the mechanisms of counseling, coaching, and communication. Individuals may also learn to live with their problems, to sublimate their goals, and to make acceptable adaptations and adjustments in their behavior. Those who are unable to do this may exhibit maladjusted and maladaptive behavior. This may take the form of chronic complaints, a psychological state of depression, rationalization, hostility, withdrawal, or perhaps even some psychosomatic or organic reactions. In such cases, professional help in the form of psychotherapy and psychiatric treatment may be required.

Three Basic Requirements for Effective Management and Motivation

I would like to conclude that where management wants better motivation, three sets of requirements must be met:

Over-all organization requirements—Effective management in terms of motivation cannot be fully realized unless the organization has established company objectives and plans for reaching them, formulated policies and relationships to carry them out, set up adequate operating budgets and costs to check on operations, and systematically reviewed progress and problems and has adequate plans for developing people to meet their problems.

Appropriate patterns of leadership to motivate men to do the work the way it should be done—The essence of leadership is getting people to do the work efficiently with greatest possible satisfaction to all concerned. The art of leadership, in the words of a great general, consists in getting people to do what you want done because they want to do it. The key ingredient in leadership is motivation—how to understand the needs of people and help see that these needs are satisfied.

The first requirement of leadership is being sensitive to the situation—the people concerned, the problems they face, and the relationships that exist.

The second requirement is flexibility and adaptability to provide the pattern of leadership that the situation demands.

The third requirement is skill—to make the leadership effective.

Leadership is much more than a set of traits. It is a combined pattern of attitudes, values, knowledge, and skill. At one extreme, the leadership pattern may be a very rule-centered and bureaucratic one. At the other extreme, it may be very group-centered and democratic. In between, we find authority-centered or autocratic patterns of leadership and individual-centered or ideocratic leadership patterns.

No one pattern of leadership is necessarily better than any other. On the contrary, each pattern has its place. Indeed, in a given situation, one particular pattern of leadership may be more appropriate, better than others. The secret of leadership lies in knowing what is needed, when it is needed, and how to provide it skillfully. To motivate men to do the job the way it should be done often requires skillful leadership, the use of differential patterns and approaches, and competence in the techniques appropriate to each.

Most individuals have a need to understand the boss for whom they work, to accept and respect him, and to be able psychologically to work for him and with him. They need to know where they stand with

the boss, to communicate with him, and to build a stable, satisfying, and productive man-boss relationship. For different men, the man-boss relationship will take different forms. For those with strong needs to be safe and secure, this may mean a relationship where the individual is quite dependent upon the boss, submissive to his wishes and dictates, and accepting of his direction and even domination. To other individuals who have a need to feel recognized, respected, and independent, an entirely different boss-man relationship may be required to bring out the best in terms of the man's performance. This we term the leadership pattern and practices required by the situation, and these, in turn, both support and limit the flow and process of motivation.

An adequate combination of communication and participation—The communication-participation pattern is a powerful factor influencing the motivation process. Communication is the binder that holds an organization together and makes it possible to coordinate thinking and action. Similarly, participation is a means by which people learn, grow, identify, and integrate their needs and objectives with those of the organization and their leaders. This, in turn, helps to determine the kind and quality of purposeful activity that people undertake.

Pushbutton Index for Personnel . . .

In closing, just a few words on what I see as one of the major, continuing needs of the federal service. I have already said that hardly an area of our personnel system has not been improved in some way during the past year. If we take the whole period since the end of the Korean War in 1953, the changes have been even more dramatic. A true career service has been established and extended worldwide. Our personnel system has been made incomparably more attractive to employees and prospective employees.

Nevertheless, the jet-propelled 20th century is rocketing along on its way to the moon, and our attitudes, methods, and, above all, our creative thinking must keep pace. I can't help wondering whether, in our very large personnel system, we have made the greatest possible use of today's automatic devices which are both lightening the drudgery and making possible new advances in so many other fields.

I have long thought that our system could function much more smoothly if we had a better inventory of our government's personnel needs and, related to it, a better inventory of the skills we have on the rolls. It seems to me that these inventories, maintained with the help of automatic equipment, would be of major value to us in our recruiting of new employees and in utilization of the employees we have. And certainly we must all admit that the shuffling of people that takes place with fluctuations in the government's work force is far from ideal at the present time. A personnel system which comprises more than two million employees deserves something better.

The Commission and the National Science Foundation are currently working on a project to provide a pushbutton index to the government's higher-level scientific and engineering talent. This will be keyed to present and future demands for such personnel.

At the same time we are working on forecasts of manpower requirements for major occupations. These will have important benefits to recruitment, examining, and management activities.

With new working information of this kind, perhaps we can look forward to a day when expansion and contraction of the work force will also be greatly simplified. Perhaps we can put the strain of such fluctuations on the data machines rather than on people—eliminating lengthy career disruptions and costly waste of talent. We may be able to make this our next major area of achievement.—Excerpt from a speech by Chairman Harris Ellsworth, U. S. Civil Service Commission, at the Commodore Hotel, October 18, 1958.

Objectives of Public Personnel Selection

Dorothy C. Adkins

The case for evaluating applicants in terms of long-range career potential as well as the particular job at hand.

THE PHRASE "public personnel selection" has two different but not necessarily opposed connotations. The one, associated with avoidance of the spoils system, lingers on in the form of positive emphasis upon fairness or objectivity and in the general concept of open competition. The second is concerned more directly with selection of the best qualified.

A selection program might circumvent political patronage by any of numerous chance devices for assigning persons to jobs. These would be more equitable than the supplanted method but by no means necessarily superior from the standpoint of choosing the most desirable workers. On the other hand, a program aimed at identifying the ablest from among available applicants and placing them in rank order can, at the same time, be characterized by fair application of the principle of open competition. Thus the sensible course is to set our sights on selection of the best by the most objective means consistent with this goal.

Although we shall not dwell upon this matter at length, selection for public employment and that for private industry have somewhat different emphases. In civil service agencies, the element of fairness fo the applicant looms larger, partly because the costs of the very selection process are chargeable to the public of which the applicants are representative. This factor has led to greater attention to confidentiality of examinations procedures in public personnel selection. We might agree that it should also give more weight to assurances of valid selection procedures than is typical of industrial selection, but whether any such claim would be substantiated is doubtful.

The goal of public personnel selection in a democracy must encompass the eventful employment of persons not merely technically competent but also with motivation to work toward the over-all objective of a government program. Low salary ceilings for the more responsible positions, coupled with widespread opinion that government employment entails needless entanglement in minutiae, may operate to reduce the over-all quality of the applicant group.

The selection process, however, can and must capitalize on the still great individual differences in this group. At the same time, the personnel agency might well work with operating agencies, budget officials, and legislators to overcome characteristics of government work that tend toward perpetuity of low-level talent in what should be high-level places.

Recruit for the Future

Our general objective being set as the selection and ranking of the most suitable, we can be more precise. Best qualified for what? To a considerable extent, public personnel selection in this country has concentrated too much on the immediate job to be done by the chosen applicant rather than upon how he should be serving the government 10, 20, even 30, years hence. An enlightened concept of recruitment for a career service, rather than merely for immediate duty in an entrance job, must have an impact upon the entire personnel program, even beyond job classification, testing, certification, and initial job placement.

Such an outlook forces consideration of such factors as motivation, morale, reaction to supervision, willingness to assume responsibility, work habits, relations with fellow workers, dependability, along with the still important skills, knowledges, and aptitudes that are more amenable to objective meas-

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urement. We need to look beyond abilities *per se* to a workable concept of what Roger Russell has recently referred to as "effective ability."[1]

Talent is one major component of effective ability, to be sure. But it also has essential ingredients of motivation and personal adjustment in life and particularly work situations.

Let us hasten to dispel any delusions that we have the final solution to this ambitious view of the goal of public personnel systems. Let us also note that such a concept of effective ability again transcends selection in a narrow sense, since it has implications for applicant guidance as well as for employee training, counseling, supervision, and evaluation. Then let us review current practice in this context and attempt to outline steps looking toward early progress.

Our general objective now becomes selection of successful career employees. Some of these will be well adjusted over a period of years in a narrow range of job duties and responsibilities, without advancement. Others must be selected who have strong potentialities for promotion but who, once they have reached some ceiling, will remain well content at a level from which they can reasonably anticipate no further advancement.

Broadening Class Specifications

A personnel agency's selection method must be closely related to its job classification practices, both being subservient to the over-all philosophy of the agency. A goal of selecting promotable employees may call for some broadening of typical class specifications, but clearly not to the point at which only the level of qualifications is important regardless of the particular field of training and experience or pattern of abilities required. The degree of specialization represented in the applicant group and the accessibility of excellent non-government training facilities have a bearing upon the desirability of relatively broad qualifications for a class of positions.

If no persons outside of government were available with particular backgrounds, then those with more general abilities would have to be hired and trained. This course would be wasteful if applicants already had acquired the requisite abilities. With a lack of trained competitors in the fields of accounting, social work, or atomic physics, positions in these areas conceivably could be combined for recruitment purposes, and expensive particularized training programs developed.

Even then, however, the requirement of different patterns and levels of abilities for the different specialties would soon be apparent, so that a subterfuge such as selective certification would be invented. Without some such device, a person well qualified in one area would find himself certified for a strange line of work to which other applicants would be better suited. Clearly, to recognize basic differences in job requirements from the first would be preferable.

Emphasis on Promotional Potential

On the other hand, emphasis upon promotion potential throughout a personnel agency profitably could lead to grouping of what may now be separate classes, each with special knowledge requirements, into broader classes, each covering positions that call for the same pattern of aptitudes. Such a plan would be feasible for combining positions for which specific knowledges and skills could readily be acquired on the job if the selected applicants had the requisite aptitudes.

In general, we may say that attention to promotion potential in selection testing will lead to increased emphasis upon learning ability or specific aptitudes, if you will, and to fewer requirements of particular knowledges and skills.

Assessment Techniques

Applicants for government positions, without a doubt, differ appreciably in aptitudes, knowledge, skill, motivation, attitudes, personality traits—in all of the factors that go to make up effective ability. In personnel selection, effort is made to assess important factors by various means: written tests; performance tests; oral interviews; ratings of training and experience; the less frequently used questionnaires, letters of reference or voucher forms, special investigations, and physical examinations; and the largely in-

effective probationary period and supervisor ratings.

These devices vary in their usefulness for appraising the several factors deemed important to job performance. They also differ in the extent to which they can be expected to meet criteria for judging the effectiveness of measuring devices: objectivity; reliability; validity; face validity; and practicality in terms of time and money.

This is not the occasion to discuss systematically how pertinent each assessment technique is to each job performance factor. To a certain extent I attempted to do that in an earlier essay.[2] And, in any event, other program sessions will permit more complete coverage of each of these objectives and measurement techniques for those of you having particular interest in this area. Permit me, though, to offer a blunt digest of my principal prejudices before attempting to sketch some more adventuresome avenues:

1. In general, written tests are most reliable and most likely to be valid.
2. Techniques readily available for improving written tests—checking reliability, statistical verification of scoring keys, items analysis, insuring comparability of alternate forms, comparison with independent criteria—are used to a shamefully infrequent extent.
3. Written tests should be so planned as to yield separate scores on different factors rather than one or two hodgepodge scores.
4. Now that the public accepts testing pretty manfully, use in the United States of aptitude tests as distinguished from achievement tests should increase, especially if more emphasis is to be placed upon potentiality for promotion.
5. Open-continuous receipt of applications and repetition of examinations at frequent intervals present practical problems. These include lack of comparability of different test forms, uncontrolled practice effects, and possible leakage of test materials—sources of trouble that too frequently have been ignored. In addition, the combination of registers based upon examinations that look interchangeable deters change and hence possible progress.
6. The effects of repeated measurement and the possible unfairness of appraising different applicants at varying times, while particularly obvious for written tests, are also discernible in the case of performance tests, oral interviews, and evaluations of training and experience.
7. Tests used to sample skills or abilities that can be taught quickly are disproportionately costly. This consideration is especially likely to be pertinent to performance tests.
8. In some instances, performance tests on a qualifying basis at the point of hiring are preferable to competitive performance tests.
9. One justification for inclusion in a competitive entrance examination of a test scored on a qualifying basis only is impracticability of administration of the test on a competitive basis.
10. Use of a test on a qualifying basis because it is not sufficiently reliable to serve for ranking applicants is not defensible. A qualifying test not affecting rank order may be defended, however, if there is a sound basis for believing that the relation between the test and subsequent job performance is curvilinear. Then a qualifying score can be set near the point beyond which a higher score implies no likelihood of better job performance—in other words, near the point at which the regression line of criterion on score first flattens out or even changes in slope from positive to negative.
11. Rating of training and experience has very high validity if minimally acceptable qualifications are very low relative to the general range of qualifications presented by the applicants. To the extent that minimum qualifications are high, differential rating of training and experience above the passing point often has very low, or even significantly negative, validity.
12. The foregoing statements, along with many more guesses about the validity of rating of training and experience, should be substantiated empirically.
13. Competitive oral interviews, individual or group, serve a worthy purpose very ineffectually, or, at best, not demonstrably well. (Probably the same is true of "ordeal by house party," to borrow a phrase from Professor C. Northcote Parkinson.[3]
14. Guidance interviews by the personnel agency and intensive interviews by operating agency staff at the point of hiring advisedly might supersede oral interviews as a part of the formal, competitive selection process.
15. Interest questionnaires, personality inventories, and the like, have some value in clinical or guidance settings but probably do more harm than good in competitive settings.
16. Special investigations, expensive and time-consuming though they are, in lim-

ited instances may be worth the trouble and trauma.

17. Special physical examinations, sometimes used unnecessarily, probably are not so reliable nor so valid as we would like to believe.
18. Typical letters of reference and voucher forms are very close to being worthless. One judiciously placed telephone call will be more efficacious than a half-dozen reference letters solicited by the applicant.
19. In the interests of validity of selection, the commonly prescribed rule of three, often flexible in practice, might better be relaxed by regulation.
20. If I may share an opinion of one of my more intelligent male colleagues, the widespread practice of selective certification by sex, with little or no justification required, not only is in opposition to the principle of fairness but also operates against the objective of selection of the best qualified.
21. Competitive promotional examinations for selecting employees to be advanced in the same line of work, when they involve construction of written tests or the administration of oral interviews, consume time and money that might better be spent on competitive entrance examinations. This latter course will serve to improve the quality and hence the promotability of applicants who embark upon the public service.
22. Promotional examinations, whether competitive or non-competitive, should rely heavily upon operating agency evaluations of applicants' potential effective ability, remembering that this concept encompasses factors related to over-all adjustment in the working environment. Although such judgments warrant improvement in the direction of greater objectivity and reliability, at the point of promotion we might well spare a degree of reliability for a probable gain in validity.
23. As for the ubiquitous criterion problem, typical service ratings are poor at best; special ratings, especially when several can be pooled, somewhat better. In view of the paucity of facilities for empirical validation of any sort, however, current studies might better be limited to situations in which more objective criteria are available. For the public service, useable production records are rare. Such indices as salary or classification grade attained, with the age factor somehow controlled or partialled out, seem to be more promising. However, these are also beset with some of the same uncertainties that characterize service ratings. Thus measurement specialists might well give further attention to the pervasive and fundamental management problems of employee evaluation.

Perhaps the foregoing declarative sentences, admittedly only a small sample of my biases, will at least assist in highlighting issues for discussion.

Formulating a Selection Program

We now turn to an attempt to formulate a program that will apply modern measurement techniques to the goals of public personnel selection. Such a program should, first of all, extend its sights beyond the objective of examining an applicant for a particular class of positions, declaring him ineligible, or placing him on a register. This limited goal is perhaps traceable to the outmoded idea that there exists a particular niche (round or square) in the world of work for every employable person. Under such a concept, the task of the selection agency has been to ascertain whether or not an applicant's special recess happens to be included in a narrow class of positions for which an examination announcement has been released. Rather, we should be examining every person interested in government employment to determine for what kinds and levels of work he may be well qualified. Among those eligible for a particular class of positions, the competitive principle would still hold. Briefly, such an objective might be translated into practice, somewhat as follows.

Publicity. Through widespread publicity, applicants at various terminal points in the educational system—completion of high school, business course, college, professional training, graduate degree, and so on, as well as employed persons throughout a region—would be encouraged to take the first step of filing a basic application for government employment. This would provide a thorough work and educational history, verified by postal card inquiries and investigation as needed. The form would then be reviewed for completeness, and any questions resolved by correspondence or interview.

This blank would constitute the official record of the applicant's past training and experience, to be used henceforth for all

particular examinations for which he applied. It would be supplemented whenever he was being considered for a new examination, so that the record would be current. Kinds and levels of education and experience could be coded at the time of the initial application review, thus facilitating later more specific evaluations of education and experience.

Note that each element would be recorded in considerable detail, but only once by the applicant. This feature alone should constitute a major improvement in the rating of education and experience. Verification or investigation of each item also would be done but once, and before the applicants' previous employers and colleges may have become extinct. In addition, several of the steps in rating for different classes of positions would have been accomplished at the time of initial application.

Aptitude Tests. Each applicant would be given a basic battery of aptitude tests, chosen from sets of tests that are equivalent as demonstrated by pretrial. Such a battery might include, for example, tests of verbal comprehension, computational ability, one or more space factors, verbal reasoning, non-verbal reasoning, mechanical comprehension, perceptual speed, and, possibly, a memory factor. These are intended as illustrative only of aptitudes that have been well established through factorial analyses. Used in various combinations, they seem promising for consideration for job selection purposes.

Such tests could be specially constructed, commercially available ones could be used, or some combination of newly developed and commercial tests might be feasible. Eventually, the selection agency might find it useful to have such batteries available in, say, two levels of difficulty, one geared to high school graduates and one to college graduates.

It might want a different set for clerical employees, with more emphasis upon specialized linguistic abilities, and perhaps another for manual workers. The agency also might develop bases for selecting particular combinations of tests to administer to applicants grouped according to broad occupational categories—mechanical, engineering, law, physical sciences, and so on.

It would need some ground rules as to how often an applicant would be permitted to be retested with an equivalent form, say at intervals no shorter than a year, and it probably should count only the latest test results. Presumably a recency requirement should be imposed, since, at least for some aptitudes, an age decrement might be involved. Basic aptitude batteries could be administered frequently, once a month or even oftener.

Interest Tests. Possibly some interest tests should be considered for addition to this program at the point of initial application. They would be suitable only if the applicant were assured that they were not to be used competitively but rather to assist him in learning something that would help him in job adjustment. Then, interpretation should be entrusted to a skilled counselor.

The Interview. Once the initial application had been completed, and the applicant had taken a basic aptitude battery and perhaps an interest test, a representative of the personnel agency, skilled in occupational counseling, would interview the applicant when feasible. In the course of such an interview, the applicant would be informed of avenues of government work in which he might reasonably expect to achieve successful employment in view of his background and pattern of aptitudes and interests in relation to anticipated vacancies. He would learn the general levels of positions through which he might enter government service and to which he might eventually aspire.

Any deficiencies in his training and experience that would have to be removed for employment in particular fields of interest to him could be noted. He could be advised to take certain achievement tests, written or performance, and further aptitude tests if such are indicated.

Additional Tests. These additional tests would be administered as needed when the applicant was being considered for placement on a register for a particular job. This testing could be at the initiative of the applicant or upon invitation from the selection agency, if it were actively recruiting for a particular class.

Again, rules as to how often an applicant

could be retested would be necessary. A recency requirement would be more important for achievement tests than for aptitude tests, since forgetting of knowledge and obsolescence of skills might be significant.

Personality Traits. Oral interviews and telephone inquiries to references would be left to the operating agencies for final checking, their use being limited to applicants most promising as determined by more objective indices. Recall that our concept of effective ability includes personality traits that, as yet, we cannot appraise objectively. Nevertheless, we can scarcely escape the conviction that they often are crucial in over-all job adjustment.

We also may believe that a person may do well in one work situation with a particular supervisor and quite poorly in another position falling in the same class. These factors peculiar to a given position, as contrasted with those common to a class of positions, can best be evaluated by personnel in the operating agency who are familiar with the particular position. Permitting the subjective evaluations of these important traits a significant voice in selecting among applicants, whose objectively evaluated qualifications are approximately equal, should improve the validity of the selection process. This is the logical basis for my predilection toward a flexible rule of three.[4]

Physical Examinations. As a matter of practicality, physical examinations, as needed, would be given at the point of hiring on a qualifying basis.

Active File. An up-to-date file of applicants for government employment would be maintained, and those in the active file would be notified of vacancies for which they are or may be qualified. Some ingenuity applied to adapting this problem to a punched card system could well be fruitful.

Essence of Positive Recruitment

The foregoing plan embraces the essence of positive recruitment, since it seeks out applicants and attempts to identify the levels and the various kinds of positions for which each would be qualified. Thus it goes beyond separate recruitment for each class of positions or set of related classes, extending the notion of competitive examinations to embrace counseling of applicants. It envisages a more dependable evaluation of background qualifications and a more comprehensive, planned battery of tests for each applicant than are now extant. At the same time, it requires only one form entry for each background element and minimizes needless repetition of tests for each class of positions for which an applicant should be considered.

The plan recognizes the significance of job elements that as yet cannot be measured objectively, insisting that subjective evaluations of these factors have a role to play in valid selection. It calls for helping operating agency personnel to evaluate job performance and for giving such appraisals major weight in promotional examinations. The need for research has been introduced only obliquely. This audience, however, is well aware that an active research approach should enlighten each step of the selection process.

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Personnel Protection As A Responsibility of Management

J. H. Rainwater, Jr.

Management foresight should go beyond safety and accident prevention to provide a detailed preparedness program for a major disaster.

IN RECENT YEARS, progressive managements both in industry and government have been giving increased thought to the problem of protection of their personnel in the event of emergency or major disasters. Such matters are important when one recognizes that the workers of an organization are the most important element in its success and that the safeguarding of personnel, therefore, is a matter of vital concern. Such matters are important when one considers, also, that any working environment has potentially serious hazards and could be threatened by major disaster conditions. Considerations of personnel protection have also received impetus through the realization that many potentially serious hazards can be corrected or controlled, and injuries prevented or lessened, by well-trained staff members who could move into action before emergency crews could report . . . or in the event they are unable to report.

In order to be aware of the hazards and to be prepared to execute all practicable action to prevent or control serious emergency conditions, it is necessary that organizations develop and put into operation a program of self-protection. A program of personnel protection might be defined as the planning, preparing, and executing of a program of activities to safeguard personnel during emergencies, major natural disasters, or under hazardous conditions.

Integrated and Continuous

The protection of personnel should be considered as a normal responsibility of line management, and, insofar as practicable, the lines of responsibility for personnel protection should follow the normal lines of command. Top management has the basic responsibility for planning, initiating, controlling, and maintaining the program. The program must be integrated, however, into the normal management activities on a continuing basis. It should not be treated as a one-shot deal nor should it be set aside as a separate function.

Evaluate the Hazards

In order to set up a self-protection program it is necessary first to know and evaluate the potential hazards that will be faced. The total work environment should be surveyed and analyzed and the potential hazards listed and ranked in terms of probability of occurrence and seriousness. In making the survey and analysis of hazards, the assistance of authorities—fire inspectors, building inspectors, safety engineers, civil defense experts, and others should be obtained.

From this analysis should develop the statement of requirements and general plans needed for adequate counter measures and for the protection of personnel. Each plant or working environment has unique protection problems. Specific plans must be tailored to the particular needs of the situation and to the resources available.

It will immediately become apparent that one of the greatest benefits from the entire self-protection program is the elimination of potential hazards through correcting dangerous conditions that had previously been overlooked. With the help of floor plans, danger areas should be located; areas of overcrowding noted, and the adequacy of

This article was prepared with the assistance of L. H. Garneau and Sid Panush, senior personnel technicians on the Los Angeles County Civil Service Commission staff.

normal and emergency exit routes analyzed; condition of fire prevention and control facilities, warning devices, sprinklers, standpipes, hoses, extinguishers should be checked.

A program to eliminate and reduce hazards and to improve prevention and control systems should immediately be set up. Liaison with civil defense officials and other departments of local government should be maintained to insure proper coordination.

Inventory of Resources

Along with the survey of hazards, there should be an inventory of personnel, facilities, supplies, and other resources available for use in the self-protection program. It should be noted at this point that an employee distribution count showing the number and location of employees within the plant is basic to all planning.

The next step in developing the program is to evaluate the extent to which employees can be expected to provide for their own protection during emergencies. This again depends upon the specific situation, but the importance of this evaluation cannot be over-emphasized since the type of program to be established depends to a great extent upon the ability of employees to operate it. Experience has shown that most employee groups can do much more in the way of self-protection in emergencies than is generally anticipated.

In this connection it is necessary to consider the adequacy of facilities and supplies to cope with potential emergency conditions. These should be appraised in order to plan for improvements and to provide a realistic basis for the self-protection program.

Planning a Self-Protection Program

From the analysis of potential hazards and the evaluation of personnel and resources available to cope with the hazards should come the plans for a self-protection program. The plans are fundamentally statements of actions to be taken whenever the various types of emergency conditions occur. Usually there develops a set of general actions which are initiated in any type of emergency. These are then supplemented by specific plans dependent upon the conditions existing.

The Alarm System

An alerting system is a necessity to bring the protection organization into readiness for action. The alarm system is a first essential in any self-protection program. This system is necessary to alert the members of the organization and to signal the initial assembly of all personnel. The alarm system should include a special emergency telephone available to the head of the organization so that the individual who first becomes aware of an emergency condition can report it to the head of the organization without delay. The system should provide for an alerting signal to gather the protection organization for action and a separate general alarm to assemble all personnel as required. The alarm systems should be distinctive, loud, reliable, and not vulnerable to disruption.

A Private Line for Emergencies

An internal, private communication system is a second essential in any self-protection program. Most plants will require a private line system to enable the head of the organization to direct and control the members of the organization during drills and emergencies. Such a system should be installed to enable the whole organization to be in communication within 1 minute from the alerting signal.

The Los Angeles County Civil Service Commission has a private line phone on each floor so that each floor leader may report, receive instructions, and relay them to his teams simultaneously. Strict controls on the use of the phones must be maintained and a specific set of instructions for use during drills and emergencies is necessary in order to reduce talking to a minimum and yet get all the necessary instructions carried out.

Lines of Command

The personnel protection organization should be tailored to the needs of the local situation. Basic essentials are that there be a toplevel administrator in full charge with an alternate or assistant to assume full responsibility in his absence; that each floor

or major floor area have a floor leader with full responsibility for his floor or area; that each floor leader have his teams of wardens, firefighters, and first aiders; that there be a building maintenance team; that there be building service chiefs or staff assistants to the head of the organization for each service such as warden, fire, and first aid. Provisions may also be made for radiological monitoring teams to survey the plant premises for radiological contamination following fallout, and rescue teams to release injured and noninjured personnel trapped under debris resulting from collapsed structures. The number and use of alternates depend on local conditions.

Warden teams are established on each floor mainly to control the movement of personnel and to maintain order until the emergency is over. Warden teams direct the assembly of personnel, search all areas, ensure orderly movement, and maintain order in shelter and assembly areas.

Fire control teams make regular fire inspections, eliminate hazards, control or contain any fires until the regular fire department arrives, and assist wardens and first aid teams as necessary.

First aid teams transport and care for injured or ill persons and prevent further injury until medical aid arrives.

The building maintenance team handles all emergency control of utilities such as power, gas, water, and elevator service until authorized maintenance personnel arrive. Where possible, consideration should be given also to the appointment of an Advisory Committee, composed of department heads and employee representatives, to assist the administrator in charge with planning and preparing for emergencies.

The essential direction and coordination for the self-protection program must come from the head of the organization within the plant or building and from his immediate assistant and the floor leaders. Advice, technical assistance, and technical training is provided by the building service chiefs. In any emergency situation, the head of the organization must evaluate the existing conditions and set in motion and coordinate the appropriate plans to meet the emergency.

Training for Disaster

It is obvious that to establish and maintain a smooth-running organization all personnel protection organization members will need some training. Competent assistance with training programs should be obtained from such sources as the local civil defense organization, fire department, safety division, American Red Cross and utility service oganizations. The importance of good training cannot be overemphasized . . . particularly in the use of firefighting and radiological equipment and in rescue and first aid techniques.

Evacuation Plan

An evacuation plan—to provide for an orderly exit of personnel—is vital, of course. This plan is used as a precautionary measure in most emergency situations. In connection with evacuation, there should be definite plans for use of alternate routes when normal paths are blocked. There should also be a basic plan for normal movement to the shelter area with alternate routes outlined.

Shelter Areas

Shelter and emergency service areas such as first aid stations should be designated in the plan according to local needs and facilities. Local authorities such as building inspectors, fire inspectors, and civil defense personnel can provide the assistance usually necessary to arrive at the best decisions regarding these areas.

Supplies

Equipment and supplies are another consideration in a personnel protection plan. In most situations, new or additional equipment and supplies will have to be provided. The main items of concern will be firefighting, radiological, and rescue facilities and equipment, first aid supplies, and personal equipment such as safety hats, flashlights, and identification bands for organization members.

Emergency Drills

An indispensable part of any program to cope with emergency situations is carefully

planned drills and exercises. Such drills and exercises must be initiated gradually by stages of involvement and then made more complete as the organization members become more adjusted to their tasks.

It is most important that each partial drill be worked smoothly and successfully rather than trying to carry out a full drill which might result in confusion. First drills might be set up with organization members only.

After drills are mastered, simulated situations should be set up which duplicate as nearly as practicable the most likely emergency situations, in order to perfect plans for such emergencies.

Maintain Enthusiasm

After a self-protection program is planned, installed, and operating, the job is by no means completed. A major problem in any such program is to maintain enthusiasm during periods when there are no emergencies to meet. The use of varied simulated exercises appears to be one of the best means of maintaining the alertness of the organization. Training needs are constant and should not be overlooked, and personnel changes on teams continually call for additional training sessions.

The maintenance of the program at a high level of effectiveness—like its planning and installation—must be a responsibility of top management. It is only with the full cooperation and support of top management that a program such as that outlined here can be developed. It is only with such continued support that the protection plan can be maintained and so be ready for action when the need for it occurs.

Hush Over America . . .

Before and during the war I lived for more than 5 years in the United States, mainly in Chicago. Now, after an absence of 13 years in my native England, I have been back here for 5 weeks. The changes I see are tremendous, everywhere I go.

The first great superficial change is the hush over America: the muffled effect of much unfamiliar American quietness, the absence of the prewar backslapping, staccato, noisy, good-humored roar—both of traffic and human beings. The American mood today is one of a strange, serious sobriety, of self-examination, of an almost un-American self-doubt and self-questioning, in lieu of the old self-assured, rather provincial certitude of being right on everything. Cars and cabs and cops no longer whistle, hoot, and honk at you in cities.

My last impression of change came from young people of America. They, too, seem more serious, less brash, and infinitely less material-minded than their forebears of a generation ago. Keeping up with the Joneses is not, it seems, for them. Whether graduates or not, they seemed to me far more bent on security, not too much work (and certainly not the industrial or commercial rat race), more serious leisure pursuits, more learning and cultural activities, both for themselves and their children, and, above all, on having large batteries of children.—Graham Hutton in *The Reporter,* October 30, 1958.

The Career Cone: A Visual Planning Tool

Truman Benedict and LaRoy J. Bove

The "career cone" is a basic analytical and program-planning device for putting data into actionable perspective.

How can an organization best plan its own system for providing the qualified people necessary to meet its future requirements for management and technical staff?

Of all the answers which might be made to this question, one seems to be irrefutable: If staff capability is to be provided on a continuing basis, an orderly career system is essential.

Many organizations today are developing career programs to provide continuous replenishment of key personnel. The quality of staff produced by any such program can be no better than the quality of the career programs, themselves. Few programs, apparently, are wholly successful in practice.

Those who would plan a career program must first learn what the staffing requirements of the organization are. They must, as a minimum, determine the *quantity* and the *kind* of managerial and technical capability required. Without this minimum information, the situation is somewhat like aiming without a target; almost anything can result, and somebody can get hurt.

When a means for assembling, portraying, and using information about the number and kind of managerial and technical people needed in an organization is used, the planning of career programs tailored to meet these identified needs becomes feasible. One such means is the "career cone".

What Is a Career Cone?

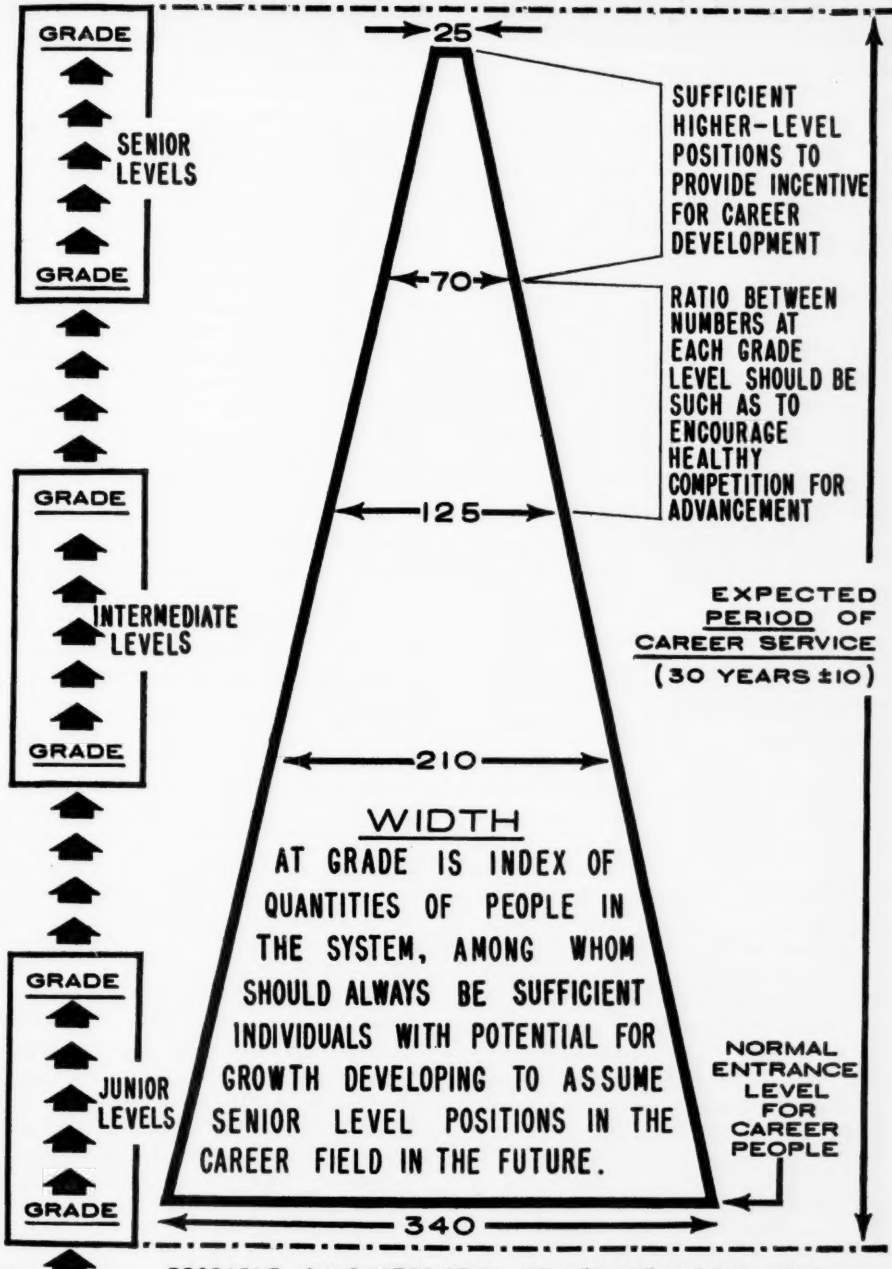
The career cone is a visual statistical tool for putting data about people and positions into actionable perspective. It portrays data about people and positions relative to their "grades" or "levels" in a way uniquely useful in personnel planning.

Relative levels of responsibility and pay are indicated as "grades" in most personnel systems. These grades extend from lower junior levels to higher senior levels of responsibility and authority. Most civilian systems are numerical, (military paygrades are also numerical), the higher number usually indicating greater skill, higher responsibility, more prestige, and greater pay. In the federal civil service, for example, grades extend from GS-1 through GS-18 for white-collar employees; WB 1 through 15 for blue-collar employees.

The career cone portrays distribution of populations, or information about populations, at identified grade levels, for an organization. Since most organizations employ fewer senior people than juniors (less generals than privates!), the configuration usually resembles a triangle, or a "cone". (Fig. 1)

Cone configurations indicate status of staffing. There could not be a universally applicable optimum career cone. But there are certain characteristics of a cone which tend to indicate the status of staffing in the organization, function, occupation, or other entity for which the particular cone is prepared. The configuration of the cone is thus an index of "good" or "bad" staffing situations. Wideness at junior and intermediate levels indicates the availability of experienced people at those levels for consideration for advancement; narrowness indicates their absence, with the accompanying probability of excessive dependence on external recruiting for senior level positions.

Ratios between populations at contiguous grade levels should be such as to encourage healthy competition for advancement. For example, there should be 70 advancement opportunities for 125 available people, rather than 125 opportunities for only 70 available people, in a career field; the latter is normally indicative of pressure to promote



PROBABLE CHARACTERISTICS OF A "GOOD" CAREER CONE

NOTE: THERE IS PROBABLY NO SUCH THING AS A UNIVERSALLY APPLICABLE OPTIMUM "CONE".

Fig. 1

candidates perhaps not yet qualified for advancement. "Corseting" at one of the intermediate levels suggests the sheer shortage of people for consideration for promotion, not just capable people who are gaining promotability.

A better proportioned "career" cone suggests a smooth flow of career talent up the grade levels of the career ladder, with progress of individuals dependent upon individual potential and demonstrated performance. This presupposes a junior entrance level at which most career people enter the field, each with the prospect of lifetime career service in the organization. In a balanced career system, there will be a sufficient number of attractive higher-level opportunities to provide incentive for people to enter the field and, thereafter, to compete, grow, find advancement, and attain their aspirations in accordance with individual potential and demonstrated performance.

Uses of Career Cones

In their simplest form, career cones have these uses:

To compare an existing staffing situation with an "optimum". True optimums are difficult to define and to validate. As a result of constructing a cone which represents existing staffing, and comparing it with the general configuration of Fig. 1, questions will immediately arise as to the "why" of any significant variations in the shape of the cone. Cones for engineers, for example, are likely to be narrow at junior and intermediate levels, indicative of short supply in this occupational field, or of rapid promotion to senior positions of those available.

To portray staffing requirements and career opportunities. Since the cone represents the grade level distribution of employees in an organization, a line of work, or an occupational field, at a given point in time, it also represents "requirements-by-usage" as of that same time. Similarly, for people in the line of work or occupation, it represents the sum and distribution of employment opportunities as of that same time. Comparison of cones depicting data over a period will reveal trends.

To facilitate occupational comparisons. Comparison between occupational cones affords valuable clues as to why an organization can seemingly obtain quality staff for some occupations, but not for others. Each configuration offers clues as to why staffing in the particular occupation is easy or difficult; why there is much competition, or little, for advancement; why people tend to leave the particular field, or to strive to enter it from other fields; why people tend to leave at certain grade levels, and not at others.

To provide clues to corrective policy. If these "why's" are investigated sufficiently the reasons for questionable situations can be identified, and, to the extent that correction lies within the authority of the administrator, corrective policy and practice can be instituted. The cones, over a time period, thus will provide an index of results of current policies and practices, suggestions for desirable innovations, and the means for observing the kind and degree of change which result from alterations in policy.

Cones Should Be Visually Comparable

Career cones can be drawn to any scale. Ordinarily it is desirable to use a scale within practical limits so that the finished product can be reproduced. Either graph paper or flame paper can be used.

Cones for all occupational fields to be studied should be visually comparable, i.e., a uniform scale, a uniform system of color coding, and uniform grade groupings should be used. In this way, visual comparison is facilitated, and unified over-all planning for total staffing requirements is made easier.

Data for constructing career cones can be obtained from any record which provides, for an identified date, the numbers of people or positions, by grade levels, and occupational grouping. For federal civil service planning, the series provides identification of occupational specialty. Levels are identified by pay grades.

In the Army, for example, data on numbers of positions, by grades, by series, are available from tables of distribution, and from occupational inventories. If these are not available, it is necessary to extract the needed data from other sources, such as position classification records, organization

charts, manning tables, or position control ledgers.

Drafting the Career Cone for an Occupational Career Field

A 10" by 18" sheet of graph paper is a convenient size for plotting requirements and opportunities information in the form of a career cone. The sheet is used with its long axis vertical. Grade levels may be laid out as shown in Fig. 1. The junior management-technical entrance level in the federal civil service, as an example, is normally GS-5 or GS-7. These grades, together with grades GS-6 and 8, normally constitute a junior grouping.

The journeyman level in many occupations is grade GS-9, and is therefore plotted separately at the lower Intermediate level. Grade GS-10 is so seldom used that GS-10 and 11 may be combined as the other intermediate level. Grades GS-12 and 13 from the lower senior level, and GS-14 and above, complete the senior grouping.

The grade level groupings may vary with different occupational groups. For example, in the professional series, relatively small use is made of grades GS-6, 8, and 10. So, for this series, these grades may be combined with the next lower grade for ordinary promotional opportunity, GS-5 to 7 to 9.

To plot the cone, the vertical center line of the sheet is used as an axis. The number of positions at each of the grade levels is laid out horizontally for each level. A convenient scale for such charting is provided by letting each small space on the graph paper equal five positions. For example, if there were 15 positions at grade GS-14 and above, one and one-half small spaces *on each side* of the vertical center would be used to represent the total of 15 positions. In the same manner, the totals for each grade level are plotted. The cone is then constructed by connecting the marks at each level on either side of the center axis with a line, as shown in Fig. 1. Narrow colored tape is good for this purpose.

Varying Ways of Portraying the Cone

Another way of portraying similar information is shown in Fig. 2. Before choosing this method, a number of other common ways were considered but discarded as not being quite right for the particular data to be portrayed. Among them were several types of simple and multiple curve charts, surface charts, bar charts of several kinds, and simple and grouped column bar charts.

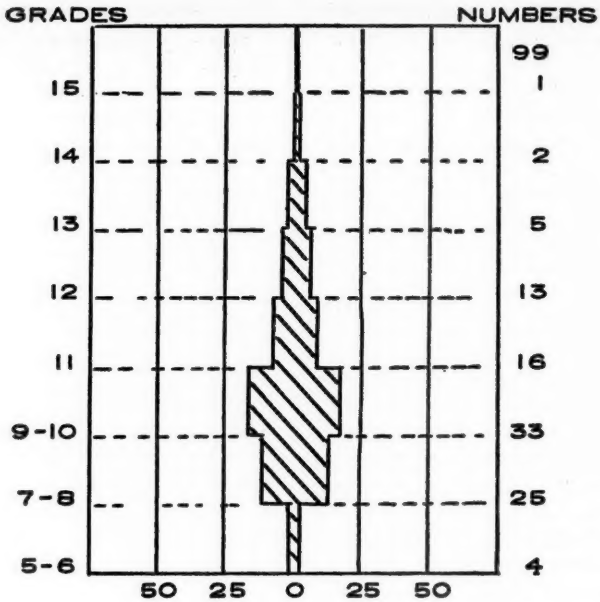
Fig. 2 shows the type of cone (it could just as well be called a "pyramid" or a "ziggurat"!) chosen to depict staffing in several comptrollership occupations such as professional accounting, budgeting, and management analysis. The method shown in Fig. 2 has a number of advantages:

1. The cone is easy to construct—no special tools or skills are required.
2. More than one set of data can be shown in a single figure. For example, a small cone can be drawn within a larger one. Or, by treating each level as a bar chart, several types of data can be shown by shading, color, etc.
3. The cone has a pleasant symbolism in that it suggests employees may progress upward, block by block.
4. Comparison between career fields can be made by comparing the sizes of the cones and shapes at different levels (if they have been made properly to the same scale).
5. The cones can be varied by color, shading, or other means to show variations.

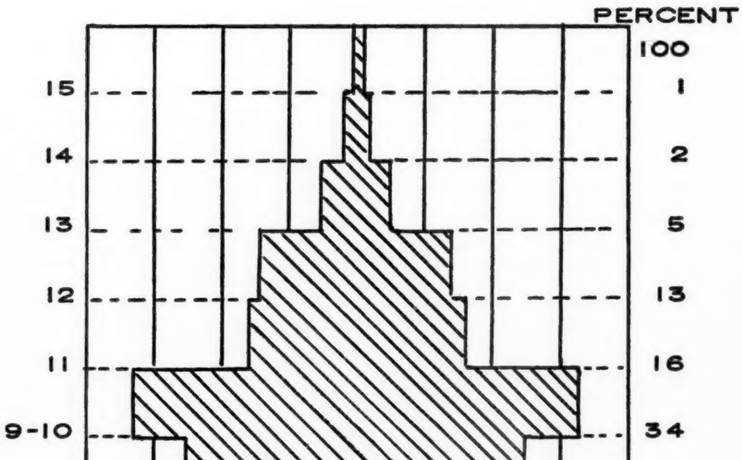
When populations are small, the career cone showing actual numbers of people may result in a tall figure of the sort shown uppermost in Fig. 2. A redrawing of the cone using percentages rather than actual numbers may be more helpful, as shown in the lower chart. Such a percentage-based cone is useful in providing a more general impression of career opportunities.

Occupational Fields and Career Fields

Once career cones have been constructed for several related occupational groups, it becomes possible to group occupations visually into career fields. The supply career field in Army Ordinance, for example, includes these occupational specialties: Supply Cataloging; Supply Requirements; General Supply; Property and Stock Control. A



Number of Accountants by Grade
Series GS-510



Percentage Distribution of Accountants by Grade
Series GS-510

FIG. 2

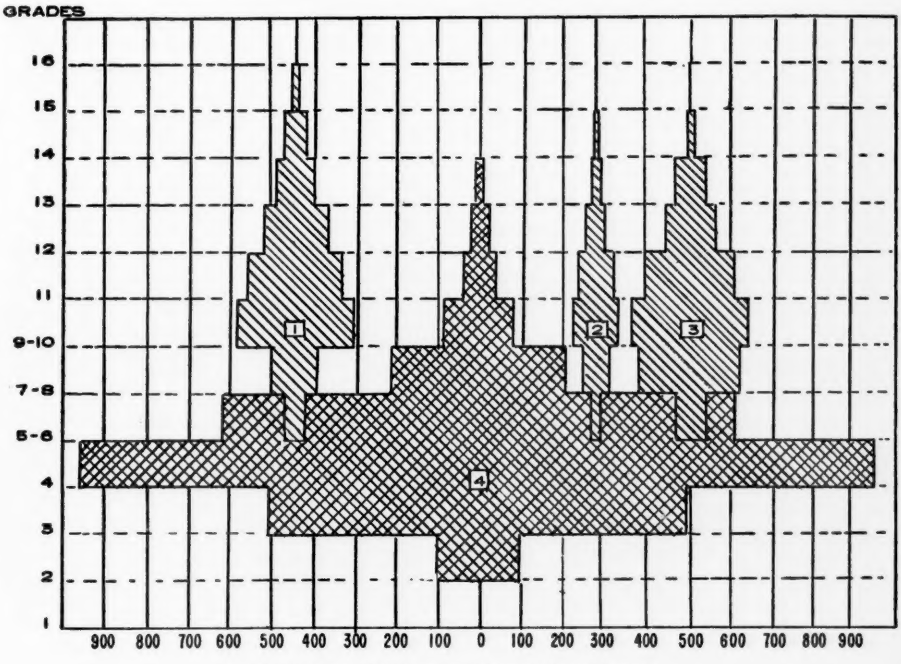
single career program has been planned and activated by the Army Ordinance Corps for this entire career field to meet career staffing requirements in all these occupations at grades GS-5 and above.

Sometimes it is desirable to show current staffing requirements and career opportunities in a whole functional area and, at the same time, indicate the same information for occupational fields within it. Such a representation is illustrated by Fig. 3, which shows three career fields individually and the remaining population in a single cone from which other career fields will later be identified, analyzed, and planned for. The same sort of information can be shown by adding a third dimension to the type of cone portrayed in Fig. 2, populations of occupations being shown by stratifications in depth, or thickness, of the cone. Each strata should be identified by a color, or pattern, different from the others.

Portraying Other Variations

If data is available for successive periods of time, the construction of a number of cones to the same scale, one for each time period, is often useful. If these cones are overlaid, with each properly identified as to date, the resulting portrayal of what is happening in a particular career field as to grades, populations at grade levels, and trends in the career field, is often illuminating. Such changes can be shown in several ways. One other method is to show successive changes by making color shading or line additions to the original cone.

Other useful data may be shown numerically on the cone. The percentage of the total positions at each grade grouping, cumulative totals or percentages, and the percentage each cumulative total represents of the grand total may be shown. Still other variations may be used to show information about the workforce, as related to grade



THE COMPTROLLER FUNCTIONAL AREA

1 Professional Accountants *2* Budget Analysts *3* Management Analysts *4* Personnel in undeveloped career fields, including those in support and clerical positions

FIG. 3

groupings. For example, after plotting the general population figures a cone can also be used to show age distributions, amounts of education, or years of service.

Cones may be photographed on colored slides, or made into Vu-Graph transparencies. In these forms they are extremely useful for making presentations to groups and for exploring, in group discussions, the reasons for comparative differences. Color helps greatly in this use.

The Paramount Use

The career cone is basic to planning career systems specifically designed to quality-staff identified management-technical staffing requirements. The cones are particularly useful in the design of career systems, "open" or "closed," to meet identified continuing ("hard-core") staffing requirements with a continuing supply of high caliber career talent. If a "closed" career system is desired, all input will normally be at the junior entrance level. This is seldom true; more often used is an "open" system which provides for lateral entry at all levels to supplement the continuing career hard core.

Career systems and programs will vary between occupational career fields. A career program for industrial engineers, one for supply specialists, and one for personnel officers are each quite different in specific objectives and in substance. Every career program should include, however, as a minimum, planned provision for all of the following:

1. Competitive selection on the broadest feasible geographical base, or sufficient career trainees for entrance into the program at the lowest junior management-technical level, who have the object of making the career field their lifelong employment. The degree of mobility required by the career system should be a specific condition to selection, and annual career input should be numerically sufficient to sustain, but not to exceed, the continuing career requirements of the particular field.
2. Inter-type training for all selected career trainees which is designed as the initial stage of a continuing cumulative career-training system.
3. A central records system containing records of all career employees at designated junior, intermediate, and senior grades. The system should be used to monitor career development of each individual, to record periodic appraisals of individuals, and to inventory available systemwide personnel capabilities.
4. A planned system of education and training opportunities. The system must be geared to the unique managerial-technical requirements of the particular career field. It should provide individuals with training at times appropriate to their career development. Career individuals should be given the opportunity to accumulate, over the entire period of their career service, the experiences, the training, and any additional necessary education requisite to full qualification for each progressively higher level.

These minimum elements are universally applicable to any planned career program. Others, such as individual career counseling and preparation of personal training and development plans, are desirable. One highly desirable element that is seldom sufficiently provided for is that of competitive appraisal of individuals against their peers as a step in selecting those who qualify for advancement within the career system. As is true in the case of the other elements, this element, basic to a true merit career system, is highlighted when the managerial-technical staffing of an organization is examined through the use of the career cone as a basic analytical and program-planning tool.

research and results

edited by Cecil E. Goode

ONGOING PERSONNEL RESEARCH IN OPERATING AGENCIES

SINCE THIS DEPARTMENT was started a year ago, the editor has tried to show how essential personnel research is in today's world—how essential it is for the advancement of knowledge and techniques in personnel administration at a time when our entire economy is devoting more and more effort to scientific advancement in all fields of endeavor. Also, this department has had articles evaluating the present status of research on personnel testing and on training.

The reader might well have asked, "So what? What can a little outfit like us do? That is something for the universities and professional research organizations to do and not for operating organizations like ours."

On the contrary, there are significant attempts in government personnel organizations to do research. True, many of these efforts are embryonic. But a start is being made. True, too, there is a tendency to call research something that is really organization and methods work, or salary studies, or operating statistics. But there is beginning to be increasing recognition of the need for personnel research.

Just What Is Research?

In the author's recent study of personnel research, published by the Public Personnel Association, research was defined as a systematic study of problems for the purpose of extending knowledge which will lead to improved practices or confirmation of existing practices or hypotheses. Research involves the setting of hypotheses and their testing through organized objective procedures which may involve the use of statistical, analytical, experimental, observational, or historical study techniques. It may also include the preliminary analysis which may lead to the stating of hypotheses for later testing or experimentation.

Personnel research includes all research efforts, as defined above, that are aimed at improving worker productivity, satisfaction, and service. It was felt that personnel research involves something more than the compilation of data on what one or several organizations are doing. It does not include such projects as the development of a specific pay plan for an organization, or a group health or insurance plan, or the mere compilation of statistics on such subjects as employee turnover, absenteeism, and employee attitudes for purely local use.

Even though most personnel organizations, in reality, spend most of their research time on what may be called operating research, we do not want to eliminate this type of research in favor of the purer, experimental variety. Both are necessary, and, if resources are limited, operating research must be given priority.

Operating Research

William J. Murray, administrative director of the New York State Department of Civil Service, asks a very pertinent question as to what research is; then he proceeds to describe New York State's operating research program which involves salary surveys, test development, organization, and methods work.

> Part of our trouble is, I believe, a lack of agreement as to what we are talking about when we use the term "research." Does the term encompass evaluation of going programs? If so, does it not tend to get into the area of organization and methods?
>
> To be more specific, our Classification and Compensation Division does a certain

amount of continuing factfinding in the area of salaries. Each year it prepares a so-called salary study for the use of the governor, the budget director and the legislature. This study is designed to assist them in determining whether the general level of state salaries should be raised. The study consists of salary data gathered from public and private employers deemed to be comparable to New York State. We call this "salary research." I assume it is encompassed in your definition of the term.

We also have a unit in the Examinations Division that is presumably dedicated to a study of the results of our tests. This unit tends, however, to become involved in developing certain new tests that are needed for our program and is rarely able to do validation work on tests which we have used. It would seem to me that validation of tests would approach what might be called pure research in the personnel field. Do you agree? On the other hand, I am not sure whether test development is "research" or "operation."

We also have a small unit in the Executive Office which is known as the Planning Section, and which includes in its mission not only organization and methods but also evaluation of any policy or program carried on in any part of the department. For example, this unit is presently involved in an analysis of the time records of all employees of the department for the purpose of providing data for a performance budget. It has made studies of our recruitment method; it has sought to find the reasons why employees resign from state jobs; it has studied the effect of our leave policies; it has evaluated the results of our testing program for college graduates to determine what has happened between the time 2,000 people apply and the exhaustion of the lists after only 100 appointments.

The State of Michigan's Personnel Research and Survey Division, headed by LaRoy Froh, spends a good bit of its time on salary studies and the preparation of salary rates; also in the maintenance of operating statistics. But, encouragingly, they are getting into significant work on test validation and development of measures of personality.

New Jersey's chief examiner and secretary, John J. Farrell, notes that, "Our emphasis has been placed primarily on salary and wage research, but considerable emphasis has also been placed on methods and procedures analyses to speed processing of personnel operations."

Operations Research

It is only one step further from "operating research" to "operations research." The concept of operations research is gaining currency in the military as a means of applying scientific know-how to national defense problems. Operations research involves the application of various scientific disciplines or approaches to a given problem.

Joseph C. Colmen, chief of the air force's civilian personnel research branch, describes their personnel research program as:

> We are trying to achieve what might broadly be called "Operations Research for Personnel Management." This means that we do not merely develop a test, an attitude questionnaire, or a rating form *per se,* but rather that we identify a management problem to be solved and design research experiments to help management get reliable data for their solution whether or not a test, an attitude survey, or any other tool or technique is necessary in conduct of the research. Such an approach obviously puts us close to the top management of the personnel function and permits close coordination from the point of origin of the problem to the application of the results in the operating situation.

Michigan's Research and Survey Division, in addition to salary studies and operating statistics, as noted before, is spending a significant amount of time on test validation and development of measures of personality.

> Although our division spends a good deal of time on salary studies and preparations of salary rates there is an increasing amount of time being spent on fringe benefit areas of compensation such as studies of insurance, employee maintenance, longevity pay, sick leave usage, and the like. We attempt to maintain a constant flow of essential operating statistics which may be used as source material for routine studies as well as many specialized questions which arise from time to time. Examples of such statistics are turnover rates, employee distributions by geographic location, age, sex, level, and the like.
>
> In addition, the division is called upon to make special studies as particular problems arise. In the area of test research we have two major fields of emphasis which are being carried on over a long-range period of time. One of these areas involves the validation of tests for some of the basic and large working classes in the state service such as state police troopers, social workers, and

employment and claims interviewers. The second long-range aim of this section is to carry on a program of routine item analysis whereby each examination will be subject to such an analysis as a matter of routine. Neither of these goals has been completely realized to date but we are working toward them.

In addition to these long-range goals of the test research operation, the section is prepared to handle more specific and sometimes more limited studies of a special nature which may be requested either by the operating division or initiated by our own division. Special emphasis is being placed upon validating measures of personality.

Interpreting Research to Management

One of the most important roles of a personnel research staff in an operating organization is to interpret the meaning of research findings to management—research findings of the general social science community as well as of the given research organization. Indeed, this may be the only function of a small, one- or two-man research staff. Testimonials as to the importance of interpretation, and some idea of how it is done in two organizations are as follows:

In Michigan, according to LaRoy Froh:

> One of the important factors in the utilization of research results is the necessity for having an open channel of communication between the research director and the top administrative officer of the agency. One must be most careful, however, not to use this channel as a means for carrying directly to him critical findings concerning activities and divisions of the agency but to, instead, report such findings through the divisions involved. The research worker must be able to recognize the limitations of his own studies and be willing to listen to viewpoints beyond those which have been considered in his study. Finally, it is evident that you cannot force research on to people who are unwilling to listen to its results. You must inspire in them a feeling of confidence in the research process by demonstrating repeatedly the advisability of obtaining facts instead of relying simply upon opinions. It is important, too, to present research findings as simply as possible, and always in non-technical language understandable by those who will use them.

In the Air Force, according to Joseph G. Colmen:

> We are in an extremely good position to feed research results into administrative practices by virtue of our very close integration with the functional programs of personnel management. We work with program people in writing their program and regulatory materials to make maximum use of research findings. We are on hand to consult with them on a day-to-day basis and to counsel them on just how far they can go in extending the research findings. We advise, and often with considerable resulting savings, on research which may be proposed but which is not likely to produce results that can be reliably interpreted.

Types of Research Organization

Described here are three types of personnel research organizations serving personnel departments:

1. No special research organization as in New York State; rather, each personnel functional unit attempts to do research within its own area.
2. An organization and methods staff that is charged with the responsibility of providing leadership and staff attention to any research which may be required, as, for example, in the New Jersey Department of Civil Service.
3. A specially organized research staff set up to perform a variety of operating research, wage and salary studies, test development and validation, to determine what is going on in personnel research elsewhere, and, occasionally, to perform research that falls more nearly within the definition provided earlier in this article. The State of Michigan research unit and the Air Force Civilian Personnel research unit are examples of this type of organization.

around the personnel world

• YUGOSLAVIA

On the Law of Public Servants.

The Law of Public Servants became effective from January 1, 1958. It now brings under its provisions, in addition to state organ employees, persons employed in institutions having the character of public service. This Law, which repealed a 1946 law on public servants, pays special attention to the problem of organization of the personnel service, as well as the conduct of personnel policy. A Federal Executive Council nominates the membership of commissions on service relations which bindingly includes representation from trade unions. The Council also prescribes and establishes for state organs a classification system, fixed by an act, serving to establish the employees' posts, functions, minimum wage, and other conditions.

Demotion and Dismissal Abolished

Compulsory competition is made the rule, "this being a democratic, equitable and, in principle, more efficacious method of filling vacancies." Annually, a commission evaluates each employee. The evaluation is communicated to the employee and he is given the right of appeal. Demotion, even for disciplinary reasons, and dismissal from the entire service have been abolished; penalties, mitigated. Penalties now range from fines of 5% of salary to temporary dismissal or temporary reduction of basic pay. Only on imprisonment while awaiting trial will suspension be applied. Through an innovation known as "placing at disposal," an employee, whose post has been abolished, may, under certain conditions, be relieved of all functions but retain all personal rights for a period up to 12 months. A new grounds for termination of service is also introduced when the head competent for appointments and an employee conclude a written agreement to that effect.

The Law of Public Servants is a significant modern legal document with a social-political importance that lies in the fact that it coordinates the personnel system with the new status and functions of the state administration. It represents an improvement of the status of all public servants and offers greater stability in the personnel system as well as adding to the consolidation of legality.—(Abstracted by Roger E. Bélanger from an article by Dr. Nicola Stjepanovic in *The New Yugoslav Law,* March, 1958.)

• BRAZIL

Training Course for Municipal Employees.

Another training course (the sixth of its kind) for municipal secretaries and accountants was given by IBAM, this time in Curitiba, capital of the State of Parana.

Thirty-four students, representing 20 different municipalities and several other governmental agencies, took part in this course, which lasted 2 months and was given under the sponsorship of the State Department of Technical Assistance to the Municipalities of Parana. (From the newsletter of the Brazilian Institute of Municipal Administration.)

• SOUTH AFRICA

Women Public Servants Receive Setback.

The righteous indignation felt by women public servants at the blow dealt them by Treasury Circular No. 2/1958 was reflected in the record attendance and lively discussions at a mass meeting of women, convened by the Women's Central and Pretoria District Women's Committees on Wednesday, 3rd September, 1958. . . . In it the meagre gains grudgingly conceded by the authorities, and which it took the Public Servants Association of South Africa upwards of a quarter of a century of stubborn and sustained effort to achieve, were snatched away from the women with scant ceremony. [For unmarried administrative officer, man's maximum would rise to £1,320, the woman's to £1,140, while the minima would be £1,080 and £880 respectively, despite the fact that they performed the same duties and carried the same responsibilities; a male stenographer commencing in the Supreme Court will be paid £1,080—£120 a year more than a female court stenographer with 6 years of experience; single men had been granted salary increases ranging up to £700; certain industrial inspectors, if male, would be earning £1,080 after 9 years, while a woman, after 30 years' service would be earning £880 for doing precisely the same work, etc.—EDITOR.]

"That women's interests will receive a severe setback is self-evident," said Miss J. H. Davies, Chairwoman of the Women's Central Committee, "but it is perhaps not so generally realized that the new salary scales may well prove to be a two-edged sword.

Experience of Slight Account

"Almost daily, speeches, statements, resolutions, and articles draw attention to the chronic shortage of qualified personnel in the technical services of the state and many steps have been taken to recruit staff, both overseas and locally, and to finance their training. It is hard to reconcile this attitude with the step which has now been taken which manifestly discourages women from joining the technical services. The authorities will do well to consider seriously whether they can afford to lose the women already in their professional service, and whether the recruitment of new officers will not likewise be adversely affected to a very marked degree.

"Large sums of money are at present being expended on the training of professional and technical officers, while those officers who qualified at their own expense, and whose usefulness to the state is enhanced by their years of experience, are being led to conclude that their services are deemed to be of slight account." (Adapted from an article in *The Public Servant*, October, 1958.)

• THE PHILIPPINES

First National Conference on Public Personnel Administration.

In March, 1958, a group of 300 delegates representing 116 national government agencies, 12 chartered cities, and 17 provinces met in Manila to focus attention on the merit system and "to spark positive action that would vitalize it." The conference lasted for 3 days and was held under the auspices of the Personnel Officers Association of the Philippines with the assistance of the Bureau of Civil Service. Appearing before the group were senators, congressmen, representatives of the press, cabinet officers, the civil service commissioner, and other distinguished persons from government and business.

A meeting of this kind on a national scale is unusual regardless of the country in which it is held. What made this meeting doubly significant was the background against which it was held, and the degree of progress it represents.

Only 12 years ago, the Philippines was a new nation born in the aftermath of a war that left it devastated and in ruins. Whether the new republic could even survive was widely discussed.

In a government preoccupied with problems of finance and reconstruction, few were concerned with the nicer aspects of public and personnel administration. Achievement and progress were likely to be measured solely in physical terms—a shipload of drugs arriving, a new well dug, a new building constructed. Little attention was given to the sad state to which the merit system had fallen, the cost of wasteful administrative practices, and such questions as: "Were recovery programs well planned?" Were the limited resources of the new government being honestly and efficiently administered? Could more be accomplished with the same expenditure of manpower, money, and energy?

Small Core of Dedicated Servants

Only a small core of dedicated public servants appeared to realize the price that was being paid, and the long-range implications of continued haphazard spending of the country's resources.

Within this group, recognition grew that even foreign aid programs were not self-implementing, and that the success of any governmental program depended upon availability of capable Filipino staffs to assume the task of administering and performing the work. They also knew that great promise lay in strengthening the merit system, improving budget practices, organization, and other administrative processes, if support for these objectives could be found. They soon enlisted the aid of the International Cooperation Administration in providing consultant and contractual services on a broad scale in public and personnel administration.

With these same Filipinos forming the nucleus and providing the leadership, programs designed to attack major points of weakness were instituted. Among the first was the establishment of the Institute of Public Administration by the University of the Philippines. There soon followed a wage and position classification survey conducted by the newly organized Wage and Position Classification Office (WAPCO) in the office of the Budget Commission. Revitalization of the Bureau of Civil Service examining and selection procedure became a major project among those concerned over the need to select the most qualified for public service. Government reorganization studies stressed the continuing need for improved personnel practices. International conferences developed the feeling that problems in the Philippines were not unique and that solutions were being sought on a wide front.

The new programs were given tremendous impetus by the administration of the late President Magsaysay. His Executive Order No. 144, in 1955, authorizing the establishment of personnel officers in the departments and agencies of the national government is only one example of the life and energy he breathed into the personnel function while he lived. The interest shown by President Carlos P. Garcia in endorsing the First National Conference on Public Personnel Administration ensured its success.

A Landmark

The First National Conference represents a landmark of its kind. First, it marks recognition by the chief executive that the merit system as a separate and distinct public function warrants a conference among public officials on a national basis.

Second, participation by representatives of Congress and the press provides an opportunity for developing further public interest and concern in the merit system.

Third, the status and dignity of the personnel officer is enhanced by official recognition of the importance of the function he performs.

Fourth, the holding of such a conference represents a notable victory over the skepticism encountered in even trying to "sell" merit system principles in a Southeast Asian country.

But Problems Not Resolved

It is not to be assumed that a conference of the kind held has resolved the personnel problems of the Philippines, nor that it portends that the merit system will prevail over the forces of patronage and the *compadre* system. What is significant is that the conference was held at all. It does ensure that work begun several years ago is continuing. There are still Filipinos willing to take up the task of improving personnel administration and the merit system. Their numbers are growing. This is rewarding knowledge to those who believe that, while personnel practices and customs in different countries will continue to vary, there are means of adapting them to the end of providing a more capable and competent public service in any area of the world. (Kelvin D. Sharp, Assistant Executive Officer, California State Personnel Board, formerly Personnel Advisor to the Philippine Government with ICA.)

• INDIA

Parkinson's Law.

An instance of what has come to be known as Parkinson's Law has been provided by the expansion of the Labour Department of Uttar Pradesh. The Law enunciates two principles: (a) an official seeks to multiply subordinates and not rivals, (b) officials make work for one another.

It may be recalled that what prompted the research which demonstrated Parkinson's Law was the growth of the British Admiralty Office from 2,000 in 1914 to 3,569 by 1928, a period during which the Navy had been reduced by one-third in men and two-thirds in ships. . . . The same is the case with the Labour Department of Uttar Pradesh government, which came into existence in 1938 to look after the interests of factory labour. Its growth, however, has had nothing to do with the strength of factory workers in the State, whose interests it is to look after.

Factory Workers Well Guarded

In 1944, the total number of the staff employed in the Labour Department was 215—of whom 15 were Gazetted and 200 non-Gazetted. The total number of factory workers in the same year was 278,238. This worked out at one government servant (in the Labour Department) for every 1,294 factory workers in the state. Twelve years later, that is in 1956, the number of Labour Department employees had risen to 1,881—of whom 88 were Gazetted and 1,793 non-Gazetted. But the number of factory workers by the year 1956 had declined to 232,974, which meant that now there was one government servant for every 124 factory workers.

The labour bureaucracy had risen by 900 per cent in the period of 12 years, while the labour force, for looking after whose interests it is employed, had declined in numbers. In 1957, the number of Labour Department employees registered a further increase of 382, but the figures of factory workers for that year are not available as yet.

As noted above, in 1944 there was, on an average, one civil servant to mind the affairs of 1,294 factory workers, but, in 1956, there was an average of 1 civil servant for only 124 factory workers. If the expansion at this rate continues a time may come when there may be 124 civil servants minding the affairs of every one factory worker, on an average. (From *Civic Affairs*, September, 1958.)

CREDIT DUE. The item on Israel ("Pension Based on Determining Salary"), which appeared in "Around the Personnel World," January 1959, *Public Personnel Review*, was excerpted from a monograph, *Public Personnel Administration in Israel*, by Max Fiks.

personnel opinions

IMPORTANT QUESTIONS of personnel policy and practice seldom yield "cut-and-dried" answers. The editors have posed the question below to several persons representing different points of view to give readers guidelines in formulating their own policies.

THE QUESTION

"What practical steps can be taken by (a) the central personnel agency and (b) the departmental personnel office to hold provisional appointments to a minimum?"

Says GENE HUNTLEY . . .

Director,
Personnel and Public Relations,
Oregon State Highway Department

Like many other things, the problem of provisional appointments is essentially one of numbers. If there are only a few isolated provisional appointments, then there is no real problem. If they become numerous, then there is a serious problem and, in some cases, an actual threat to the merit principle.

An operating agency which is functioning properly will make provisional appointments with the greatest hesitation and reluctance, and only because it is a matteı of absolute necessity and there is no other alternative.

Such operating agencies do not like provisional appointments because they cause much inconvenience, waste of time, loss of money in training, trouble, and often end up in a serious violation of the principles of good human relations which is essential in an efficiently operated organization.

A typical larger state operating agency with 3,600 employees had over 100 employees holding provisional status in 1955. Now, 4 years later, it still has 60 provisional employees. And, alas, the average duration of each provisional appointment has been slightly over 2 years! It is expected, however, that the number of provisionals will be reduced to a dozen or so in a short time.

This problem of provisional appointments is one of several areas in personnel management where it is most appropriate that a correction should be a "joint venture" between operating departments and the central agency.

Primarily and basically, it is a problem of adequately forecasting personnel needs, and then being ready to meet these needs with certified candidates.

The following coordinated and cooperative efforts between the operating and central personnel agencies should reduce provisional appointments to a safe margin:

1. The typical tendency for the central personnel agency is to feel that its responsibility is at an end when a provisional authorization is issued. Likewise, the operating personnel division often has the same tendency—and this leaves the supervisor standing alone at a time when he is most in need of help. There is no room for complacency in this situation, and both operating and central agencies should feel keenly their responsibility in getting a qualified candidate on the job.
2. The operating agency should plan well in advance to keep the central agency informed of anticipated needs. The central agency should schedule its examinations realistically. This timing aspect is particularly important if seasonal demands are involved.

3. If sincere and skilled efforts are made to recruit in a given area, and there is still difficulty—both the operating and central personnel agencies should analyze the salary scale for the classification concerned and take bold steps to correct it if it is inadequate.
4. In areas of continued shortage, the operating department, especially, and the central personnel agency, generally, should engage in long-range public relations work to stimulate interest in shortage areas. For example, in the case of technicians and engineers, educational and promotional work should be done in the high schools and colleges.
5. The central personnel agency should frequently circulate eligible lists to determine current availability of candidates to avoid "hidden potential" for provisional necessity.
6. There should be a definite time limit on provisional appointments, preferably 90 days, which will be adhered to provided the central agency has done its job and has certified candidates available.
7. Examinations should be tailored to the realities of the market place in problem areas, rather than to that which is theoretically the best selective mechanism. There is probably nothing more absurd than subjecting a few candidates to an elaborate, competitive examination when there is no competition! More use should be made of unassembled examinations in these essentially non-competitive areas.
8. The principle that performance on the job is the final and best test of a candidate is one that is seldom argued. Rules should be changed and statutes revised, if necessary, to provide that, in those cases where a provisional appointee serves a normal probational or trial service period and the central personnel agency—either through neglect, heavy work load, inadequate staff, or other reasons—has not examined him, the employee should be "blanketed in" and given regular status if the operating agency declares him competent. This would remove the perpetuation of the inherent unfairness that provisional appointments have to both the employee concerned and to the supervisor. A vigilant sentinel against possible political inroads exists in that the central agency has the control and ability to establish an examination within a reasonable time.

Mosher, Kingsley & Stahl, in their classical text,* comment: "There are undoubtedly times at which provisional appointments are necessary, although their numbers should be small if a properly staffed central personnel agency is on the job. Being "on the job" means forecasting and anticipating the probable requirements of the service, on the basis of both past experience and contacts with appointing officers who can pretty accurately foretell their requirements."

Add to this an equal responsibility for the operating agency—and one has the beginning of the solution.

Says R. ELLIOTT SCEARCE . . .

Director,
Department of Personnel,
St. Louis

One of the hallmarks of a good public personnel program is keeping provisional appointments to an irreducible minimum. This can best be accomplished by adequate planning and execution on the following fronts:

Establishment of a system for handling repetitive examinations for positions in which there are continuous openings by establishing biennial dates for holding of examinations and preparation of eligible lists. The fire fighter series including fire fighters and fire officers is an example of examinations that can be projected on a repeat basis every 2 years assuming that is the life of an eligible list. This procedure can be applied in areas where sufficient eligibles can be obtained to meet the needs of the service for the legal life of the

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* William E. Mosher, J. Donald Kingsley, and O. Glenn Stahl, *Public Personnel Administration* (3rd ed.; New York: Harper & Brothers, 1950), p. 153.

eligible list. This is particularly true in promotional areas.

In the area of preparation by the central personnel agency, simple procedures can be set up within the organization to coordinate the efforts of each unit toward meeting the needs of the service for eligibles to fill vacancies as they occur—(a) the Certification Section can routinely notify the Examining Section 60 days in advance of the expiration of any list, (b) when requisitions are received, for which lists are not available, immediate notice can be given to the Examination Section of the need for eligibles, (c) constant research on the part of the central personnel agency should be carried on to predict future needs in the operating departments and to determine best procedures for filling vacancies if they occur, (d) the Classification Section can keep the Examination Section advised of requests for new positions, changes in existing positions, and other classification problems that necessitate use of eligibles to fill new positions, to acquire status, or to become eligible when positions are allocated upward.

In the areas of cooperation by the central personnel agency with operating departments much can be done to secure the approval of the appointing authority for withholding requisitions to fill vacancies until eligibles are available. This is a two-way street and when appointing authorities are willing to wait, the examining processes should be expedited to the fullest extent possible, and eligibles produced without delay. It is well to point out to the operating officials who may or may not have a candidate for the vacancy that provisional appointments really handicap the appointee when he competes to secure eligibility in the examination. This is due to the psychological effect on the individual in the competitive examinations wherein he is attempting to retain his job while all the others are seeking the job and appear, to the candidate, to be in total opposition to his efforts.

There are many other procedures that can be used to hold down provisional appointments. These include use of transfer and demotion, the reassignment of supernumerary employees, the use of open and continuous examinations, the announcement of examination in series so as to have eligibles available for lower positions as upper level positions are filled by promotion, and the streamlining of the examining process by the elimination of all unnecessary steps particularly in the professional areas where standards are easily established and where competition of qualified candidates is often non-existent.

Another procedure that is very valuable, whenever the rules and basic laws permit, is the use of related eligible lists for filling vacant positions. There are many positions that can be filled from appropriate higher eligible lists and often, by careful evaluation of eligibles on appropriate lists, most capable candidates can be secured for filling positions in the lower classes of positions. Care should be taken to maintain the rights of such eligibles should vacancies occur in the upper level positions for which they have qualified.

There are a limited number of positions in any jurisdiction that must be filled immediately and the central personnel agency should make a real positive effort to see that provisional appointments are not made unless an emergency would be created by leaving the position vacant. This can be done by securing the cooperation of the appointing authorities, by immediately expediting the process of securing eligibles when lists do not exist, and by a bit of hardmouthed attitude toward capricious efforts of operating officials in attempting provisional appointments in hopes of favoring an individual.

Says JOSEPH RECHETNICK . . .

Director of Personnel,
New York City Housing Authority

Under civil service law, a provisional appointment may be made on a temporary basis in the absence of an appropriate civil service eligible list. Provisional appointments, therefore, need not be made when there are appropriate civil service lists which contain adequate names from which permanent appointments can be made. The central personnel agency could insure that provisional appointments would be kept to very small proportions by proceeding with civil

service examinations in anticipation of appointments to be made by the operating agencies and in anticipation of the death or exhaustion of existing civil service lists. Where the central personnel agency is not limited by budgetary controls, it need not wait until a provisional appointment has been made before proceeding with the examination. Unfortunately, because of limited funds and consequently limited personnel, the examination process usually does not proceed until the provisional appointment is actually made, resulting in an interval of anywhere from a few months to perhaps a year or two during which the provisional appointment remains in force because the eligible list cannot be established without generally time-consuming examining processes.

One practical way for the central personnel agency to keep provisional appointments to a minimum on a prospective basis is to canvass the operating departments to determine when, how many, and what kind of appointments will be made by them during the fiscal year. This information could alert the central personnel agency to take necessary steps to have available eligible lists from which such appointments could be made.

The departmental personnel office can assist in this goal of a minimum number of provisional appointments by determining in its turn the expected date, number, and kind of appointments to be made within its agency and advising the central personnel agency so that the civil service process can proceed in anticipation of these appointments.

The New York City Housing Authority has found this technique very helpful in having eligible lists prepared sooner than would otherwise be the case to fill its vacancies. For example: the Authority is required to appoint several hundred seasonal employes who work on the grounds during the spring, summer, and fall. During the balance of the year, these employes can be used to assist in the porter and janitorial work within the housing project buildings themselves. We have therefore worked out an arrangement with the Civil Service Commission whereby the civil service examination is held early in the fall with the list established in midwinter so that a pool of eligibles would be available to meet the seasonal needs when the demand is most urgent. At the end of the season, there is generally enough turnover at this level to permit these civil service appointees to be assigned to the janitorial and porter work without any break in service or need to lay off a civil service appointee.

While the existence of a civil service eligible list makes provisional appointments in the title unnecessary, one of the difficulties in today's labor market has been the fact that the civil service list is not adequate. One important reason, of course, is the relatively small number of qualified candidates who compete in the examination. A second important reason is the delay between receipt of the applications and the official establishment of the list and certification of the eligibles thereon. This delay generally results in an undue mortality among the eligibles so that a list, which might have been adequate had it been established within 1 or 2 months after the receipt of applications, is quickly exhausted when it appears a year or more after candidates have filed their applications. Consequently, a reduction in this time interval is closely related to increased utilization of the eligible list.

The central personnel agency should, therefore, take whatever measures are necessary to establish and certify civil service lists as quickly as possible after the examination is announced. A practical measure for an agency which has limited funds and staff might be to gear its examination workload toward scheduling and completing an examination before proceeding with other examinations. Concentrating the examining process would have the effect of earlier establishment of lists and, therefore, more effective use of such lists. The technique which sometimes prevails of the shotgun approach, namely, working on a large number of examinations at the same time, tends to delay the establishment of any one of these and, therefore, has the effect of a reduction in the utilization of the eligible list.

Another step which can be taken by the departmental personnel office is to maintain

control on the duties actually being performed in the position. This control would reduce the use of the provisional appointment in another title to keep on the payroll an employee who has been unable to meet the competition of civil service and therefore can no longer be continued in the title to which he had been originally appointed and for which an eligible list has been prepared.

Says F. ARNOLD McDERMOTT . . .

Personnel Director,
Career Service Authority, Denver

The City and County of Denver has no provisional employees, and allows no provisional appointments. For the personnel agency, operating departments, the mayor, and members of the city council, this situation is as healthy as the Colorado sunshine.

This condition arose from a recognition that the provisional system is costly and inefficient, from a conviction that no spoils element should creep into the operation of the merit system, and from a determination that the personnel agency should continue to fulfill—not postpone—its recruiting and selection responsibilities.

When Denver's career service system was set up by charter amendment late in 1954, it succeeded a 7-year-old merit system operated by the Personnel and Budget Office. Under the old system, selection methods were weak, public examination announcements rare, and certification methods vague. However, a very important principle emerged—that every appointee must be certified by the central personnel office.

This practice continued after the Career Service Authority was set up and all employes had been blanketed in by charter amendment. The Board's decision, in its new rules, not to allow provisionals was made with full realization that a real challenge faced the staff: that of maintaining daily service while, at the same time, strengthening selection techniques and setting up machinery to protect the rights of applicants and insure compliance with the legal requirements of a strong charter amendment.

However, Denver was in a good position to accomplish this task. Most city agencies were located within or adjacent to the city limits; the average employee population under career service was small—about 3,900; and adequate appropriations were guaranteed by a charter requirement that the budget of the personnel agency be at least 1 per cent of the total personal services appropriation. The charter gave the Board broad rule-making powers; it also provided that city pay rates should be equal to prevailing rates in the community—thus giving the city a chance to secure its fair share of competent workers.

Rules adopted by the Career Service Board have played an important role in relieving the Career Service Authority of responsibilities which might have otherwise sapped strength from recruiting activities. Although personnel actions are preaudited in the offices of the Authority, all payroll checking is done by the auditor. Sick, vacation, and other leave records are maintained in the offices of the individual departments. Responsibility for making promotional decisions is placed in the hands of supervisors and appointing authorities, and no competitive examinations are required (competitive promotionals are given, however, which allow employes to cross departmental lines).

In addition to help provided by the charter and the rules, some practical steps that have been taken to keep our head above water are:

1. Continuous recruitment program: on Monday of each week, an announcement is published which lists the examinations open during that week. Every effort is made to avoid the establishment of long lists because of the ever-changing conditions of the labor market. All local applicants are interviewed so that appropriate information may be obtained; tests are scheduled within the week.
2. Live certification: a number of eligibles are called in to the offices of the Career Service Authority at a stated time. The highest ranking eligibles who appear are selected for certification and interviews are arranged with departments on the same day (using the rule of three).

3. Planning with departments: a personnel advisory committee, which meets monthly, discusses general recruitment problems, and meetings are held with individual departments on recruiting problems when necessary. At weekly staff meetings of the Career Service Authority, every case involving a delay of more than 1 week is carefully analyzed and discussed. Recruitment activity for summer employment gets under way as early as February with an analysis of the number and types of jobs to be filled. Plans are then made for the canvassing of temporary re-employment lists and the conduct of written examinations and physical agility tests.
4. Temporary re-employment lists: these lists contain the names of employes who were separated from short-term jobs with satisfactory service records and are helpful in filling summer vacancies. There is no rank order on these lists, and certification is made at the request of the department.
5. Intermittent appointment: intermittent workers, once they are appointed from employment lists, may be used anytime during the year without additional appointment procedure. This device is helpful in meeting emergency needs and also in filling jobs with irregular hours, such as ushers, parking attendants, etc.

Maintaining the recruitment machinery in high gear also involves constant revision of class specifications to keep up with changing job requirements, maintaining an active transfer service where employes are actually assisted in making a change, and the conduct of supervisory training classes where supervisors discuss recruiting problems face-to-face with recruitment technicians.

The constantly changing needs of the service have created problems in scheduling and administering examinations and have demanded the sacrifice of desirable but time-consuming examination techniques but, in spite of a few trying moments, Denver has been able to meet the problem of recruitment without provisionals and still maintain effective operation of the personnel program.

An Invitation from the Editors

Have You The Makings of A Good Article? The editors of *Public Personnel Review* cordially invite potential contributors to submit their ideas or manuscripts for consideration. We are on the lookout for new contributors . . . for useful information presented in concise, readable style . . . for thoughtful, analytical discussions and practical solutions to common personnel problems . . . for fresh ideas to stimulate the vision and imagination of our readers.

If you are a potential contributor, here are a few guidelines:

1. Short articles are usually preferred over long ones. (We regard an article of less than 2500 words as a "short" article, and one of more than 3000 words as a "long" one.)
2. The *Review* is a quarterly publication, and the editors try to achieve diversification of subject-matter from one issue to another. (If you have access to a back file of the journal, it's a good idea to check and find out how long it's been since the *Review* carried an article on a subject akin to the one you have in mind.)
3. Unless your manuscript is already completed, it's a good idea to check with our editorial office before you start writing. You can put all the pertinent points in a one-page letter—the subject and scope, the intended length, and the date you'll be able to complete the article. On the basis of your preliminary query, the editors will be able to react to the idea, perhaps mention some points for possible coverage, and suggest a target date for sending in your manuscript. If it turns out that another article on a similar topic is already scheduled, you may want to suggest an alternate possible topic.
4. When you send us a manuscript, please put your full name and mailing address on the title page. It's also a good idea to enclose a stamped, addressed return envelope, just in case . . .

the bookshelf

International Civil Service: Principles and Problems. By Tien-Cheng Young. International Institute of Administrative Sciences, Brussels, 1958. (Western Hemisphere Agent: Public Administration Service, 1313 East 60th Street, Chicago 16, Illinois.) 268 pp. $5.00.

Reviewed by

DR. FELIX A. NIGRO
Professor of Government,
Southern Illinois University,
Carbondale, Illinois

This is the best up-to-date study of international personnel administration that this reviewer has seen. First, because it is broad in scope and covers not only the management phases, such as recruitment, salaries, and promotions, but also the fundamental issue of international versus national loyalty. Second, because, as Deputy Chief of UNESCO's Bureau of Programme and Budget, the author is realistic and keeps his feet firmly on the ground in discussing problems which others might unwittingly see in an oversimplified light. Yet, for the very reason that he is currently employed in a key post with an important international agency, he understandably does not speak as frankly on some issues as an outsider might. So this reviewer will perhaps perform his best service by exposing cruelly some of the dilemmas and impasses which now exist in international administration.

Tien-Cheng Young makes no bones about the fact that in certain important ways the merit system is not followed in the UN and the specialized international agencies. The UN Charter provides that the "paramount consideration" in appointments and promotions shall be "efficiency, competence, and integrity." It also, however, requires that the staff be recruited on "as wide a geographical basis as possible." In practice, this means politics in appointments and promotions, because the member governments seek adequate and, if possible, prominent representation on the administrative staff of the UN. This, of course, means that in some cases a mediocre or even second-rate person must be appointed to satisfy this criterion of geographical representation. Tien-Cheng Young points out that the rule now followed is to allocate posts to the different countries in proportion to their respective contributions to the total UN budget. This is by informal agreement; on the same basis, the key directorships in the Secretariat go to representatives of the most powerful member States.

That this system in practice means politics even in the crudest sense of the word is seen in the fact that some member countries have used the threat of withholding their financial contributions unless they obtained "fair inclusion of their compatriots in the Secretariat." Tien-Cheng Young makes an interesting argument on this score: Is it not true that the Secretary-General of the UN needs this political patronage as a means of gaining support for his policies from recalcitrant member delegations? After all, this was the role of the President's patronage in U.S. history.

Surely, this is food for thought, but there are important differences. The American President operates under a system of separation of powers and besides, whatever its historic role, the presidential patronage has now almost completely given way to the civil service system. Perhaps the Secretary-General's patronage will evaporate in time in the same way. What is clear is that the Secretary-General can be just as political as he wants to be in carrying out the principle of geographical representation: he can yield to the inevitable, or encourage it.

Is it possible to reconcile the criteria of efficiency and geographical representation? This, Tien-Cheng Young rightly points out, depends on the definition of efficiency. In an international organization, there is no efficiency if the member states refuse to co-

operate. As things stand in the present age, they definitely will not do so unless they are represented in the Secretariat, no matter what the qualifications of their nationals for such posts. True efficiency in this setting means in some cases taking the second-rate man. This was what the League of Nations concluded and is the basis for UN and international specialized agency policy.

Granted that all of this is true in the practical sense, one cannot accept the optimism of some UN groups which have studied this problem. For example, the author refers to the opinion expressed by the International Civil Service Advisory Board in 1950 that proper programs of in-service training would have the long-term effect of reconciling the two criteria. This is more a hope than a reasoned judgment, for no experienced personnel man can accept the view that even the best program of in-service training will "gradually repair the inevitable flaws in recruitment." Such programs can reduce the margin of incompetence in some cases and eliminate it in others: that is about all one can expect.

The more realistic approach would be to stiffen the selection procedure. The UN now gives competitive examinations only in the case of translators and clerical and secretarial posts. Tien-Cheng Young holds little hope for wider use of such examinations, because of the "profound differences between the educational systems existing in the various Member States." However, possibly because he himself is not sure about this, he then contradicts himself by supporting a program for recruiting "junior career entrants from first-class young university graduates or persons with similar, high qualifications, by competitive written and oral examinations wherever possible." All this indicates that his heart is in the right place, because he also, by implication at least, supports the recommendation of the International Civil Service Advisory Board for the filling of all professional posts by worldwide written examinations.

This reviewer has never been convinced that the UN could not tighten its selection procedures and make wider use of written examinations and other conventional selection tools. Admittedly, the requirement for geographical representation would still mean appointing some of the lesser-qualified, but it would have the great advantage of showing clearly who is qualified and who is not. This in itself would discourage at least the grossest forms of political interference in appointments to the Secretariat.

Tien-Cheng Young's most important recommendation is for the creation of an International Civil Service Commission which would have jurisdiction not only over the UN but also over all the specialized international agencies. This would mean common personnel policies, but he views it also as a means of eliminating political pressures in appointments. In presenting this proposal, however, he is not convincing, for two reasons. First, he states that the members of the Commission would be *elected* by the member states. Would this not open the door to even more political influence than now exists? Would not the politically-elected members of such a Commission engage in such practices as logrolling and similar horsetrading? Second, he apparently feels that the commission form of organization is an ideal one, based on "the shining example of national civil services in many lands." There is a case for the commission form, but Tien-Cheng Young does not make it and leaves one with the impression that he may have overlooked the possibility that it does not remove and may even increase the possibilities of political infiltration. In any event, the author fails to present this proposal in detail, thus leaving the reader uncertain as to how such a Commission would function. How would adoption of this proposal improve the present situation, one in which personnel management is fully controlled, within the outlines of the policies stated in the UN Charter, by the Secretary-General?

As to the rest of the book, the author's treatment of the appeals' machinery and of the role of the staff associations is particularly good. This is one area of personnel administration in which the international agencies have made more progress than in certain national services, that of the U.S. unfortunately being an example. Furthermore, the author's discussion here is not strictly legalistic, since he explores the fundamental questions of policy and philosophy. Other sections of the book are largely legalistic, based on documents and official statements of policy. This is all right, because Tien-Cheng Young does not claim to be writing an analytical study, based on actual cases of how the various policies he cites have worked out in practice.

For example, he thoroughly reports the findings and conclusions of various League

of Nations and UN study groups on the problem of political activities of international civil servants. The UN has (and, of course, rightly) employed various political refugees in responsible posts. These men fled their countries, expelled by new governments which in some cases promptly declared illegal the political parties to which the men ousted had belonged in the countries involved. What problems arose within the UN involving any continued political activities of these refugees? How were these questions resolved? These are the kinds of questions into which Tien-Cheng Young does not go, but they are the decisions which have to be made in day-by-day international personnel administration. This reviewer hopes that some one will some day write a true case study analysis of international agency personnel policies as they have functioned in practice. Meanwhile, Tien-Cheng Young's book fills an important gap.

No review of this book would be complete without complimenting the author for his terse, lucid writing style and for his scholarly treatment of the documentary sources. Finally, both the bibliography and index are above average and reflect the same care.

The Job of the Federal Executive. By Marver H. Bernstein. Brookings Institution, 722 Jackson Place, Washington 6, D. C., 1958. 241 pp. $3.50.

Reviewed by

FLETCHER C. WALLER
Vice President,
Bell & Howell Company, Chicago

This is a worthwhile book for students, for public officials, both career and interim, for politicians, and for administrators of foundations searching for important projects to sponsor and support. It is worthwhile because of its insights into some of the problems of the selection, orientation, and work of people in the top executive levels of our federal bureaucracy. It is worthwhile because it indirectly, but clearly, indicates the continuing miserable state of recognition of and need for higher development of the arts of public service in the United States today. For anyone who believes that our democratic forms must be understood in order to be valued and preserved, and who believes that an informed citizenship must be the source from which come the leaders and administrators of our governmental programs, this book will be further stimulus to work harder for improvement.

The book is a distillation of round table discussions among selected federal executives held under the auspices of the Brookings Institution. The members of the round table, which met eight times, represent a cross section of career and political executives. The list of participants is impressive for several reasons and it follows:

James V. Bennett, Director, Bureau of Prisons, Department of Justice
Marver H. Bernstein, Associate Professor of Politics, Princeton University, Executive Secretary of the Round Table
Robert D. Calkins, President, The Brookings Institution
John J. Corson, partner, McKinsey and Company, Management Consultants
Paul T. David, Director of Governmental Studies, The Brookings Institution
O. Gordon Delk, Deputy Commissioner of Internal Revenue, Department of the Treasury
John H. Dillon, Administrative Assistant to the Secretary of the Navy, Department of Defense (participated in two of the eight sessions)
Henry A. DuFlon, Director, McKinsey Foundation for Management Research, Inc.
Rowland Egger, Chairman, Department of Political Science, University of Virginia
Dr. Robert H. Felix, Director, National Institute of Mental Health, United States Public Health Service, Department of Health, Education, and Welfare
Henry H. Fowler, senior member, Fowler, Leva, Hawes, and Symington
Roger W. Jones, Assistant Director for Legislative Reference, Bureau of the Budget
Eugene J. Lyons, Assistant Postmaster General and head of the Bureau of Personnel, Post Office Department
John W. Macy, Jr., Executive Director, United States Civil Service Commission
Richard E. McArdle, Chief, Forest Service, Department of Agriculture
Wilfred J. McNeil, Assistant Secretary of Defense and Comptroller, Department of Defense
Rufus E. Miles, Jr., Director of Administration, Department of Health, Education, and Welfare
George T. Moore, Assistant Secretary of Commerce for Administration, Department of Commerce
William W. Parsons, Administrative Assistant Secretary, Department of the Treasury
John A. Perkins, Under Secretary, Department of Health, Education, and Welfare

Wallace S. Sayre, Professor of Public Administration, Department of Public Law and Government, Columbia University, Chairman of the Round Table

Marcellus C. Scheild, former head of staff, Committee on Appropriations, United States House of Representatives

James R. Wiggins, Executive Editor, *Washington Post and Times Herald*

Felix E. Wormser, Assistant Secretary for Mineral Resources, Department of the Interior

My temporary depression after reading the volume was probably greater for knowing personally the skill and wisdom of several of the participants. I worked intimately over a long period with three of them and they contributed mightily to my zeal for trying to help improve the knowledge and attitudes of business executives on the operation of government and in trying to show the need for greater education and direct participation of citizens in our democratic forms at all levels of public administration. The testimony, presented in interesting form by Professor Bernstein, reiterates what is well established, i.e., *generally*, men who have achieved a stature in our materialistic society great enough to "trust" them to head up gigantic responsibilities in the federal executive departments and agencies—generally such "successful" men are intellectually and psychologically unprepared for public service at those top levels. The record is too clear for real debate—the exceptions, so refreshing and so rare, stand out so clearly as to heavily endorse the truth of the generality. This fact of a general state of "unpreparedness" must be examined as it reflects on the state of citizens' knowledge about our democracy, and how it tries to operate among—not our school children, to whom we so dearly love to pass the buck—but to us, chronologically at least, adults. We have a job of adult education to do concerning every level of government, i.e., local, state, national, and, yes, most obviously, international. As this book talks about the problem of the executive fruit, it is only really reflecting on the root of the tree.

The volume itself carries some words that stimulate this reader. As an example, in the introduction, as part of the background on why the project was undertaken, the author says, "Hundreds of able men with little previous experience in governmental affairs have had to serve in top posts without benefit of any systematic introduction to public life. They have had no adequate way of learning about the political setting of their jobs, the tasks and roles that characterize executive positions, and the pitfalls they might encounter." Later, in the same section, he quotes a panel member, "As far as I am aware, this effort has not been attempted before. These discussions suggest that much more can be done to make effective use of the accumulated experience of executives who have been through the mills, especially in preparing political executives coming in fresh from other fields." To which this reviewer adds a fervent "Amen."

The book is an interesting and instructive collection of facts and opinions on the job of the federal executive. Its greater worth lies in the fact that it might make you unhappy enough to try to do something about the immediate future. This reviewer respectfully suggests that you read it and with that in mind.

Work Simplification: Creative Thinking About Work Problems. By Robert N. Lehrer. Prentice-Hall, Inc., Englewood Cliffs, New Jersey, 1957. 394 pp. $6.95, text; $9.25, trade.

Reviewed by

HARRY H. FITE

Vice President and Washington Manager, Lester B. Knight & Associates, Inc.

Work Simplification may be an unfortunate title for Professor Lehrer's book, inasmuch as "work simplification" is a phrase usually associated with the rationalization of the minute details of job performance at the bench or individual work place. Yet the great value of this particular book is that it deals with much more than what may be implied by the narrow connotation of its title. The fact, too, that much of its illustrative material is based on office problems and drawn from non-manufacturing organizations further enhances its utility.

Professor Lehrer's service to those who would understand the process of improving work may be measured by a recital of some of his chapter headings which indicate the unusual scope of his work. In addition to the usual chapters on "Getting the Facts," "Analyzing the Facts," "Designing an Improved Method," etc., the author brings into focus and demonstrates the interrelationship among such important subjects as "Productivity," "Science and Work," "Technology and Work Organization," "Creating Think-

ing," "The Human Machine," and "The Non-Physical Working Environment."

As the author himself points out, the traditional treatment of the subject of work simplification has been singularly preoccupied with technique and form, and the methodology of fact-finding and charting of work steps have been spelled out in great detail. However, as far as these books have been concerned, the reader has been given little help in understanding the fundamentals of work processes and the limitations imposed on the systems designer by the nature of human beings and by the facts of social organization.

Since this volume does recognize the essential interdependence of these topics with the techniques of fact finding, organizing and analysis, it deserves a wide readership, not only among the technicians who will be using these techniques as tools of their daily jobs, but also, even more importantly, among top managers. After all, persons in positions of authority must support and understand work simplification programs if these programs are to be successful.

The author defines work simplification as "a systematic analysis of all factors affecting work being done or all factors that will affect work to be done in order to save time, money, and effort." He points out there is always a better way to do a job, that a systematic and orderly approach to work problems will yield better results than a haphazard one, and that the price of success is an open and inquisitive mind and *"an imaginative mind which will allow visualization of alternative work procedures and their effect."*

For the most part, this is a classical statement of the definition of work simplification and the work simplification philosophy. However, in the underlined phrase quoted in the preceding paragraph, the author puts his finger on the weak element in many such programs—lack of innovating ability after the facts about existing procedures have been gathered. This phrase foreshadows a discussion of "creative thinking" in which the author performs the useful task of showing that work simplification and "brainstorming"—the process of innovation or thinking up new ways of doing a job—must be part and parcel of the same process.

In another important chapter—The Non-Physical Working Environment—he shows how the findings of the Hawthorne experiment about group behavior and social organization contribute to more realistic work improvement. That is, unless these phenomena are understood, work organization and systems design will be unsuccessful. He points to the other side of this coin, too. Once the facts about people at work, revealed by the Hawthorne experiment, are understood, the logic of work simplification which achieves better methods through the participation of the first-line supervisor and rank-and-file worker becomes more compelling than ever.

In another part of this volume—(Chapter 7—The Work System and Chapter 8—Technology and Work Organization)—the author brings work simplification up to date by relating it to automation and the concomitant philosophy which has come to be called "systems approach." In a word, this is the theory that the work of an organization is a single system of interrelated activities or subsystems, and that a change made at any point will have repercussions throughout the entire system. To bring this concept into a discussion of work simplification is most important. The great flaw in work simplification in the past has been that when it has been used without this fundamental fact in mind its results have been limited, piddling, and even self-defeating. Sometimes, that is to say, repairing a part without an understanding of the whole can do more harm than good.

This volume has two principal interests for a personnel agency—one from the standpoint of its internal operations, and the other from the standpoint of its external responsibilities. Apropos of internal activities, any personnel agency of any size and volume of business is replete with opportunities to improve its mass paperwork processes through the application of work simplification. Unfortunately, personnel offices have been both absolutely and relatively—compared to finance and accounting offices, for example—laggard in grasping these opportunities.

Professor Lehrer's book points up especially well the opportunity for a personnel office to contribute to the processes of work rationalization outside its own walls. This derives from the stress it lays on the need for system design and methods improvement to observe the realities of human behavior and the facts of social organization. Nobody in the hierarchies of most organizations has a greater obligation than the personnel officer to assure that their work methods conform to the capabilities and meet the needs of human beings.

The Older Worker in Industry. By G. Hamilton Crook and Martin Heinstein. Institute of Industrial Relations, University of California, Berkeley, California, 1958. 143 pp. $2.00.

Reviewed by

SIDNEY SPECTOR

Director, Interstate Clearing House on Mental Health, Council of State Governments

This report on the attitudes of older workers toward their jobs and toward retirement is one of a series produced at the University of California's Institute of Industrial Relations as part of a 5-year interdisciplinary study of the problem of aging in an industrial society. It is not primarily an experimental or theoretical approach but rather an informational inventory of older worker attitudes compared with younger worker attitudes. The results, which are labeled tentative, subject to qualification, and requiring further research, have some interesting implications for the personnel field.

In attempting to compare work performance between older and younger workers it was not possible to secure objective measures. It was therefore necessary to resort to a worker's evaluation form completed by an immediate supervisor. This method, of course, raises many obvious questions of bias, and one wonders whether the results were worth the effort. The results indicated that older workers, in general, did not receive significantly different supervisors' ratings from those received by younger workers. However, men 60 and older—when considered separately—did tend to receive a smaller proportion of high ratings than younger men.

There also was a tendency for skilled workers to receive relatively more high ratings. It also was found that skilled workers were less likely to enjoy routine work than less skilled workers. They were also more confident of their ability to get another job and more frequently indicated an intent to work when they reached the retirement age.

The report stresses the fact that over 80 per cent of both older and younger workers liked their jobs, and the majority of older workers felt secure and well adjusted.

Most older workers did not want to quit working at a fixed retirement, and two-thirds indicated they had no retirement plans. The evidence indicated that their financial resources would be limited to social security and/or a pension after retirement.

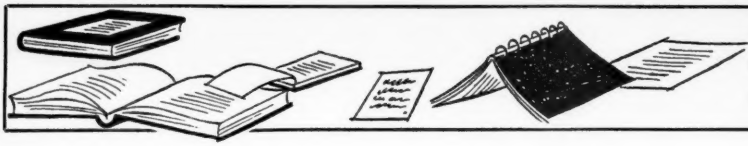
One of the conclusions stated in the report indicated that preretirement counseling or even fairly intensive preretirement training does not affect the older worker's present attitudes toward or appraisal of his own retirement. However, this conclusion is suggested without data in the report itself and apparently derives either from unpublished material or subjective mood.

These and similar items of statistical generalization—some quite obvious—are so bound up with methodological problems as to be interesting only for further research. As a matter of fact, by the time a reader reviews the appendix description of problems of bias, of validity of question response, of company and worker unwillingness, and the barriers to attainment of a respectable sample, he wonders whether the study was ready for publication. The tenuous nature of the data, and the repeated comments by the authors that the report can present only broad outlines of problem areas for further investigation, makes this reader feel that it might have been a more significant contribution to have continued the research and to have published more theoretically fruitful results.

I was much intrigued with the sentences on page 111 in the Appendix under "Procedures":

> It should also be remembered that generalization of findings to manual workers not included in the sample is not demonstrably appropriate, and in all probability our sample is not sufficiently representative of manual workers as a whole to expect our findings to be closely descriptive of the population. *The findings nevertheless show that certain attitudes and relationships do exist in some manual workers.* (Italics mine) And we believe it reasonable—at least until better evidence to the contrary is offered—to assign a fairly high probability to the likelihood that the same tendencies characterize manual workers in general, at least in manufacturing establishments, from which this sample is chiefly drawn.

This major conclusion seems to indicate that some manual workers have certain attitudes and relationships. It reminds me of Gertrude Stein's famous comment on much of sociological and psychological research—namely, it is very likely that there are more people on the continent of North America where there are some people than where there are no people.



BOOK AND PAMPHLET NOTES

Public Administration and the Public—Perspectives Toward Government in a Metropolitan Community. Morris Janowitz, Deil Wright, and William Delany. Bureau of Government, Institute of Public Administration, University of Michigan, Ann Arbor, Michigan, 1958. 140 pp. $3.00.

In this monograph, Michigan Governmental Studies, Number 36, a series of criteria are developed and applied for judging whether the perspectives which the public holds toward administration are appropriate for a system of administration based on consent. The body of data collected and analyzed deals with the impact of administration in a metropolitan community setting; as such, the findings should be of relevance to the growing reconsideration of metropolitan government in the life of American society.

No Political Influence Will Help You in the Least: Letters of Theodore Roosevelt. The United States Civil Service Commission, Superintendent of Documents, U.S. Government Printing Office, Washington 25, D. C., 1958. 52 pp. $.25.

In cooperation with the Theodore Roosevelt Centennial Commission, the U.S. Civil Service Commission has published a selection of letters Theodore Roosevelt wrote while he was a civil service commissioner from 1889 through 1895. The letters fill a gap in the heretofore available published knowledge of Roosevelt's career. Fresh and lively, they illustrate his grasp of the potentialities of the merit system, then only 6 years old, and the characteristic vigor with which he set about defending it, explaining it, and putting it on a practical operating basis.

Manpower Problems in Economic Development: A Selected Bibliography. Prepared by Keith Simpson and Hazel C. Benjamin. Industrial Relations Section, Department of Economics and Sociology, Princeton University, Princeton, New Jersey, 1958. 93 pp. No price indicated.

This bibliography deals with manpower in its broadest sense and is designed as an aid to those who are concerned with a wide range of problems of human resource development as related to economic growth. The idea of the bibliography was suggested by the Directorate of Manpower in the Ministry of Home Affairs of the Indian Government, and the Ford Foundation invited the Industrial Relations Section at Princeton to develop it. Most of the material is drawn from American experience.

Unionism and the Merit System in Municipal Relations in Canada. M. Z. Prives. Canadian Federation of Mayors and Municipalities, Montreal, Quebec, Canada, 1958. 58 pp. No price indicated.

The purpose of this study was to establish the nature of the relations between employee unions and associations on the one hand, and the municipalities as employers, and also to discover the trends in these relationships, if any. Particular questions set forth were: (1) Do organizations of employees in the municipal service aspire to influence their field of employment by means of gaining recognition for a union shop or closed shop system, and how does this relate to the merit principle? (2) Do these organizations strive to participate in the municipal hiring only, or in matters of promotion and related intermanagement functions as well? (3) Can pressures of this nature be perceived at present in municipal labor relations, and what indications of their future development can be established?

Some of the conclusions reached were: (1) The merit system and unionism have certain goals in common, as opposed to the operation of political patronage, and, therefore, unions tend to be natural allies of the merit system in its initial stages; (2) once

entrenched, however, the union becomes interested in the protection of its members from outside competition as well as in the betterment of their conditions; it may seek to impose restrictions on municipal hiring through the closed shop or a similar device, and it may try to gain participation in management functions; (3) unions and management tend to disagree on the meaning of the term "merit" especially in the matter of selection, with the unions giving greater weight to seniority; (4) development, at present, seems to be in the direction of mutual accommodation on the lines dictated by the practical demands of life and not on the lines of an abstract theory of merit which might be self-defeating in the long run because of its rigidity; (5) the morale of a working group can be as important to its efficiency as the way in which its members are selected, and recognition of seniority may have a decisive effect upon morale.

The Role of the City Manager in Policy Formulation. Clarence E. Ridley. The International City Managers' Association, 1313 East 60th Street, Chicago 37, Illinois, 1958. 56 pp. $2.00 per single copy; $1.00 per copy, 5 or more.

From approximately 1500 city managers in office in December, 1957, 100 were selected for questioning in order to obtain a cross-section of the experiences, observations, and philosophy of the profession as a whole. Selection was made on the basis of geographical distribution, length of service as managers, number of cities served as managers, and in cities with populations ranging from a few thousand to one-half million. Eighty-eight managers responded to the questionnaires, and about half that number were interviewed personally; the main objective of the survey was to answer the problem: What is the proper role of the city manager in assisting the council to formulate municipal policies for people living in urban areas. During the 27 years prior to his retirement, Mr. Ridley, as executive director of ICMA, became personally acquainted with thousands of city managers and observed the operations of the council-manager plan in all kinds of communities. His personal philosophy of council-manager government and of the city manager profession is evident throughout this report.

Biography of an Ideal: The Diamond Anniversary History of the Federal Service. Charles Cooke. United States Civil Service Commission, Superintendent of Documents, U. S. Government Printing Office, Washington 25, D. C., 1959. 170 pp. $.55.

The time frame of this history runs from 1787 to 1958 and shows how the story of civil service in America is intertwined with the history of our country. Very readable format with many illustrations.

Advanced Administrative Training in the Public Service. Keith B. Callard. The Institute of Public Administration of Canada, 33 Isabella Street, Toronto 5, Ontario, 1958. 32 pp. No price indicated.

Identified as Governmental Studies Number 1, this publication is the first in what the Institute hopes will be a series on matters of interest and concern in public administration. The purpose of this study was not to assess the quality of the senior administrative level of the public service but to consider what more might be done in developing senior officials.

Leader Attitudes and Group Effectiveness. Fred E. Fiedler. University of Illinois Press, Urbana, Illinois, 1958. 69 pp. $1.75.

Assembling capable men into a team does not necessarily insure good teamwork. It is not unusual for highly skilled specialists to perform only moderately well or even poorly as a team, and, frequently, a team composed of men who are only mediocre in their own field will perform outstandingly as a group. This report summarizes the findings of a 6-year research program designed to identify psychological factors underlying group effectiveness. Its specific aim was the development of a theory regarding the part which interpersonal perception plays in making groups productive.

Municipal Employee Benefits in Texas. Institute of Public Affairs, Public Affairs Series, Number 36, The University of Texas, Austin, Texas, 1958. 96 pp. $1.50.

The development and maintenance of a sound program of employee benefits is not a one-time task, and keeping such programs abreast of current demands and requirements is a continuing matter which faces municipal management at least annually. Factual information on current practices in other cities can not be neglected. The objective of this study is to present factual information on the various employee benefits offered by cities; no attempt has been made to ascertain the total costs of these benefits, either for individual cities or all reporting cities as a group, and no judgment has been made on the merits or adequacy of any specific benefit program.

Conventions: An American Institution. Edited by J. S. Turner. International Association of Convention Bureaus, 714 Union Central Building, Cincinnati 2, Ohio, 1958. 138 pp. No price indicated.

". . . America's advancement in law, politics, and education, its broad religious tolerance, and its superiority in health and medicine stems strongly from the institution of conventions." The writer backs up his statement with quotes from the American Bar Association, the American Chemical Society, the American Association of School Administrators, the Southern Baptist Convention, and the American Medical Association expressing the value to their professions, and the public, of conventions. Chapter titles include "Survey Reports," "Financing," "Management," "The Convention City Decision," "Tentative Dates," and "Convention Registration." This publication should be of definite help to those readers involved in the many details of regional, national, and international meetings.

Decision-Making: An Annotated Bibliography. Paul Wasserman with Fred S. Silander. Graduate School of Business and Public Administration, Cornell University, Ithaca, New York, 1958. 111 pp. $3.50.

A McKinsey Foundation project, this publication, it is hoped, will help to improve communication on decision-making both within the academic world and between the academic world and the business world. It should aid individual research efforts and may, through its organization of material, construct a framework to give more meaningful relationship to separate efforts within sub-areas of research.

PERSONNEL BIBLIOGRAPHY

This feature is possible through the cooperation of the U.S. Civil Service Commission. It was prepared by the staff of the Commission's Library under the direction of Mrs. Elaine Woodruff, Librarian. Selections are made on the basis of (1) general availability, (2) pertinence to the public service generally, and (3) recency of material.

Fringe Benefits in Public Employment

Balmer, Bert A.

Fringe benefits in Washington cities. Seattle, University of Washington press, 1957. 27 pp.

Identifies types of fringe benefits which are commonly found in municipal employment in State of Washington and calls attention to variations in practices among cities.

Beaver, Lee A.

A fringe benefit cost analysis for the city of Santa Monica, California. Santa Monica, 1954. 16 pp.

Includes brief description of each benefit and basis upon which its cost to the city is computed. Presents graphic data on total annual cost of all benefits for all employees, fringe benefit comparison chart, and annual cost per employee.

Blake, Matthew F.

Current trends in fringe benefits. Journal of accountancy, vol. 106, no. 3, September 1958, pp. 33-40.

Outlines tax advantages and disadvantages of various types of benefits such as life insurance, pensions and profit sharing, supplementary unemployment benefits, and deferred compensation.

Bortz, Nelson M.

The measurement of fringe benefit expenditures. Personnel, vol. 33, no. 1, July 1956, pp. 87-94.

Explores some conceptual problems in the area of fringe benefits and reports in brief on an exploratory study dealing with the problems of measuring expenditures. Examines primarily employer records and reporting practices, and factors affecting expenditure levels.

Bureau of municipal research.

Fringe benefits. Philadelphia, 1956. lv.

Compares fringe benefits of city government and private employees in Philadelphia, considering types of benefits received, benefits for salaried and hourly employees and actual monetary values of the benefits for each group.

Chamber of commerce of the United States. Economic research department.

Fringe benefits, 1957. Washington, 1958. 36 pp.

Sixth study of fringe benefits which covers 1,020 reporting employers. Comprehensive statistical summary of distribution and average fringe payments by industry, region, and size of company variations.

Cochran, Howe P.

Scientific employee benefit planning. Boston, Little, Brown and company, 1954. 354 pp.

Discusses and explains in non-technical style problems in highly technical field of employee benefits. Considers pension plans, profit-sharing plans, combination pension and profit-sharing plans, and stock bonus plans.

Crisafulli, Virgil C., and Sidney C. Sufrin.

Fringe benefits: are they related to wage rates? Personnel, vol. 32, no. 6, May 1956, pp. 533-537.

Analyzes, for given labor market, monetary fringe benefits, and fringe benefits which are convertible to monetary value. Concludes that there is no obvious relationship between fringe benefits and level of basic wage rates.

Fringe benefits: some neglected considerations.

Personnel, vol. 33, no. 4, January 1957, pp. 337-346.

Examines reasons usually given for granting fringe benefits, develops some ideas which may serve as a rationale for fringe benefit programs, and indicates criteria by which proposed benefits may be evaluated.

Gitlow, A. L.

"Fringe" benefits: a review. Personnel journal, vol. 34, no. 4, September 1955, pp. 126-130.

Recommends use of term "wage supplement" rather than fringe benefits since the latter implies trimming or a little extra, and the wage fringe has become so large a part of total compensation. Examines growth of wage supplements and reasons for this growth. Also reports on some rulings and court decisions in this area.

Hopper, Jerry R.

Some critical reflections on the new paternalism. Personnel, vol. 34, no. 3, November-December 1957, pp. 31-34.

A basic drawback to the increasing use of employee benefits of various types is that the employee feels less and less need to provide for his own security, financial and otherwise.

Kidney, Edith B.

Fringe benefits for salaried employees in government and industry. Chicago, Civil service assembly of the United States and Canada, 1954. 33 pp. (Personnel report no. 542).

Condensation of thesis for degree of Master of Arts, Department of political science, University of Chicago.

Brings together and considers fringe benefits as elements of a single "package" and points out differences between benefits provided government employees and private employees. Draws attention to fact that government workers no longer have more liberal fringe benefits than industrial workers, that no fringe benefits are granted exclusively to government employees as a particular advantage of public employment, and that industrial employers are less restricted than government employers in adopting new personnel practices.

Kidney, Edith B.

Trends in fringe benefits for employees. Public employee, vol. 19, no. 3, May 1955, pp. 9-11.

Compares the trends in fringe benefits in government and in industry, the two leading competitors in the labor market.

MacIntyre, Duncan M.

Fringe benefits in industry and government. Federal accountant, vol. 7, no. 4, June 1958, pp. 29-37.

While fringe benefits for government employees are usually liberal in some respects, in other areas they do not compare favorably with private industry practices. Author concludes that there is much less disparity between private industry and government than is generally believed.

Oregon. Civil service commission.

Salaries and wages paid by Oregon private industries, Oregon cities and counties, federal agencies and other states. Salem, 1958. 63 pp.

Section 6: Fringe benefits. Contains table of benefits for states included in salary survey, pp. 48-50.

Oregon. University. Bureau of municipal research and service.

Fringe benefits in municipal employment; a survey of practices in Oregon cities having over 1,000 population. Eugene, 1954. 44 pp. (Information bulletin no. 93).

Includes information on hours of work, overtime, holidays, vacations, leave, insurance, retirement and uniform allowances.

Rosenthal, Edgar.

Comparing fringe benefits. GRA reporter, vol. 9, no. 1, First quarter, 1957, pp. 10-11, 16.

Describes a new technique used to compare public and private fringe benefits in a study undertaken by the Bureau of Municipal Research and Pennsylvania Economy League (Eastern Division).

Stieglitz, Harold.

The trend in fringe benefit costs. Management record, vol. 19, no. 11, November 1957, pp. 386-390, 398-400.

Information from the U.S. Department of Commerce, the United States Chamber of Commerce, and thirteen large manufacturing companies points out that fringe benefit costs have risen steadily during the last decade. Stresses types of benefits and companies' reasons for increasing them.

Strathman, Earl, Margaret Greenfield and Lee A. Beaver.

Fringe benefits—as an aspect of salary. Western city, vol. 30, no. 16, June 1954, pp. 30-33.

Reports results of three recent surveys on fringe benefits in California concerned with payments for time not worked as distinct from payments for insurance of hospitalization plans.

Texas. University. Institute of public affairs.

Municipal employee benefits in Texas. Austin, 1958. 96 pp. (Public affairs series no. 36).

Summary and detailed information on all types of significant fringe benefits which exist in Texas cities at present: working laws, paid vacations, leaves of absence, insurance programs, retirement systems, and miscellaneous benefits.

U.S. Civil service commission.

Major benefits of federal employees (other than salary) as of January 23, 1956. Washington, 1956. 7 pp.

Lists in chart form brief information on retirement, insurance, premium pay, and other benefits provided for federal employees. Also includes information on additional benefits available to overseas employees.

U.S. Department of health, education, and welfare. Library.

Fringe benefits; an annotated bibliography of selected references. Washington, 1954. 32 pp.

Lists books, magazine articles, and Congressional documents in field of fringe benefits arranged under following headings: Employee-benefit plans, general; Fringe benefits, costs and trends; Group insurance; Guaranteed annual wage; Health, medical, and welfare plans; Pension plans; Social security; State temporary disability insurance; Vacation, military leave, sick leave, holiday pay and maternity benefits; Workmen's compensation.

Washington. Personnel board.

Study on fringe benefits. Seattle, 1953. 6 pp.

Comparison of vacation leave policies, sick leave policies, and retirement (health and group insurance benefits) in departments of Washington state, other state governments, private industry in state of Washington, and selected cities in the United States. Also includes same type of information for United States civil service.

Wise, R. H.

Getting positive results from fringe benefits. Office executive, vol. 31, no. 10, October 1956, pp. 29-30.

Suggested ways in which fringe benefit programs can be taken less for granted and made to serve their original purpose as incentives to the employee.

personnel literature

abstracts of current articles

Efficiency

Statistical Quality Control, Based on Work Sampling, Raises Office Standards. Robert M. Smith. *Office Management*. November, 1958.

In an office, statistical quality control may be used to determine by statistical sampling whether a given batch of paperwork products adheres to predetermined standards of accuracy. Once established, it can give as good or better a control on the quality of production as the 100 per cent verification used in many offices.

Sampling is based on the law of averages and the law of probability. If the sample taken is large enough, or if there are enough samples, the good and bad units contained therein will represent the percentage of good and bad units in the entire lot being sampled. There will always be a certain amount of error; it is the proportion of good products to bad ones that is important. Tests have shown that sampling procedures actually give better results than 100 per cent verification because of the fatigue factor that creeps into the latter.

Sampling techniques employed in quality control make it possible to keep errors at a predetermined percentage of the whole, reduce the time spent in verification, and identify and isolate batches of work in which errors exceed limits set.

In setting up a quality control program, acceptable error limits are first determined. This may be done by an analysis of past performance or determination of a new standard by management.

The main working tool of statistical quality control is the control chart on which are plotted the results of the sampling tests. It has three significant indicators—the mean, which is the permissible percentage of error, and the upper and lower control limits. As long as the percentage of error falls within these control limits, the sample indicates that the percentage of error in the lot from which it is taken is at the desired minimum. When a sample shows an incidence of error outside the control limits, the percentage of error is not at the permissible mean, and the entire batch from which the sample is taken is then subjected to a 100 per cent check to correct errors and determine their cause.

Offices in which statistical quality control has been applied have found it less costly than 100 per cent verification procedures, and the results have often been more accurate. For a company which does not use any verification method, statistical quality control can, through control of errors, not only reduce costs but also aid in bettering customer relations.—VIRGIL T. DREILING.

Employee Evaluation

Let's Try Some Round Pegs In Square Holes. Robert McBane. *Personnel Administration*. November-December, 1958.

One of the most ancient and overworked cliches concerning the personnel function is "putting square pegs in square holes and round pegs in round holes," and, as cliches go, it isn't a bad one. But this apt and innocent phrase may have an unfortunate influence on our thinking. It tends to persuade us that all our pegs are preshaped, that all we need to do is to determine the shape by scientific tests, and, presto! the peg's adjustment and comfort are guaranteed.

Consider the comment of an unknown sage, "putting a square peg in a square hole is one of the best ways of denying the peg any room for movement or expansion!" Man is a plastic and tremendously adaptable creature. Personnel departments have an obligation to discover and develop an individual's natural and often unsuspected possibilities and to stimulate him in a desire to grow into new dimensions. There is a critical need today for greater development of industry's working force.

It would be difficult to find anyone, especially a personnel manager, who would deny the need for developing employees to fuller realization of their potentialities, and who would fail to appreciate that this need is compelling from the standpoint of the individual, the organization, and the national welfare. But are we really working with open minds and unleashed imagination to achieve this goal?

Several proven approaches to the problem are job rotation, job enlargement, and tests for advancement. Is it too big a job to follow up every employee personally? Perhaps, but who can deny that this is the professional ideal of performance in any personnel department? In some organizations it can never be fully realized, in others it can, but none of us can say the job is thoroughly done unless we have taken every possible step in that direction; for optimum use and maximum development of employees is our main reason for being. We have only recently become aware of personnel management and are still somewhat self-conscious about it. Along the way, long-understood but unexpressed truths have been "discovered," principles have been developed and systematized, "scientific" instruments for solving personnel management problems have been produced. All these processes have been necessary and valuable, but let us recognize them as tools and techniques; only aids for the ultimate process of managing personnel as individuals. Concentrate on the pegs, study them, try them in different holes; put round pegs in square holes, let them wiggle around a little bit. Given a chance to move and expand, it's surprising what some pegs can do!—RUTH L. OLSON.

Recruiting

College Recruiting Makes Sense. J. R. Clarke. *Personnel Journal.* November, 1958.

There has been a good deal of criticism lately of the practice of recruiting from colleges. Some writers suggest that, for many companies, college recruiting is little more than a "fashionable fad".

There are a number of basic reasons for recruiting college graduates. The colleges offer many specialized courses. Probably the very employee needed will be found. The colleges have placement offices to assist the company to find the talent needed. College students are taught to think and are conditioned to learn new things. Among college graduates there may be found potential capacities for future managers.

Companies gamble less on the successful future of the college graduate than on the average non-graduate. The graduate has already become experienced in a competitive program. Graduation is a selective process of sorts. Selecting college graduates reduces the risk and cost of company recruiting and employee development programs. Some men of ability do not finish college, and should not be overlooked. However, with scholarships more plentiful it is easier for talented youth to get college educations.

The difference among companies results from the caliber of men and women who make up the organization—material, equipment, capital, markets, and customers are available to all companies. Advantages in patents and products are less significant than the advantages a company enjoys over another by the combination and level of skills, talents, and degrees of achievement of its employees. New ideas, machines, processes, techniques are developed by individuals. These lower cost, speed production, and produce new markets.

The colleges have an extensive source of young talent, socially experienced and easily accessible. It is more economical to visit college placement offices than to seek, through expensive advertising and other recruiting measures, the same qualifications. Companies contribute millions of dollars each year to educate youth. It is good business to capitalize on the investment.—LEROY J. BRENNEMAN.

1959 PPR Abstracters

The following members of the Public Personnel Association have accepted the editor's invitation to serve as abstracters of articles for the "Personnel Literature" section of *Public Personnel Review* in 1959.

Roger E. Belanger, Personnel Officer, The St. Lawrence Seaway Authority, Montreal, Canada

Leroy J. Brenneman, Personnel Director, Phoenix Civil Service Board, Phoenix, Arizona

Virgil T. Dreiling, Personnel Technician, Kansas Department of Administration, Topeka, Kansas

John Paul Gaquin, Personnel Assistant to County Manager, Montgomery County Personnel Board, Rockville, Maryland

James R. Gray, Chief of Employee and Public Relations, Department of Employment Security, Providence, Rhode Island

Fred Henne, Personnel Officer, Arkansas Department of Welfare, Little Rock, Arkansas

LeRay S. Howell, Supervisor, Utah Merit System Council, Salt Lake City, Utah

Gene Huntley, Director, Division of Personnel & Public Relations, Oregon State Highway Department, Salem, Oregon

Frank B. Krupiarz, Chief, Personnel Section, Michigan Department of Health, Lansing, Michigan

Ruth L. Olson, Bureau Personnel Officer, Bureau of Aeronautics, Department of the Navy, Washington, D. C.

Grace M. Pierson, Associate Personnel Examiner, California State Personnel Board, Sacramento, California

Dorothy C. Piez, Recruitment Officer, Career Service Authority, City and County of Denver, Denver, Colorado

Norman Sharpless, Assistant City Personnel Director, Milwaukee City Service Commission, Milwaukee, Wisconsin

Helen Thompson, Assistant Personnel Director, City of Atlanta, Atlanta, Georgia

Tom D. Womble, Director of Personnel, Miami Beach Civil Service Board, Miami Beach, Florida

REPRINTS

The Public Personnel Association does not stock reprints of articles appearing in *Public Personnel Review*. Anyone wishing reprints of any articles in this issue should contact the PPA editorial office as early as possible since type is held only for 30 days after publication. The cost of reprints is based on a minimum quantity of 100, and shipping charges are extra. The price schedule is as follows:

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4 pages or less	$21.75	$1.20
5-8 pages	34.25	1.50
9-16 pages	49.10	2.50

f.o.b. Brattleboro, Vermont

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Our Readers Write . . .

• PPR at Monthly Meetings

. . . The City of Antioch is planning a series of monthly meetings of supervisory personnel to discuss case problems, articles of interest, and questions and problems of supervision.

In scheduling these informal meetings, we hope to be able to use articles from publications like the "Public Personnel Review."

Would it be possible to duplicate and use articles appearing in the "Public Personnel Review?" We would like to use both articles and questions such as the ones listed under Personnel Opinions.

Leo S. Fancey
Assistant Personnel Officer
City of Antioch, California

• Nationwide Recruiting

. . . The article "Nationwide Recruitment for a Personnel Director," in the October issue demonstrates the practicability of nationwide recruitment for key personnel. But analysis of the recruiting and test methods raises some doubt that the Metropolitan St. Louis Sewer District did "everything possible . . . to insure that the best man has been secured for the position of Personnel Director."

This test program had a qualifying written examination as well as a qualifying experience and training rating. The examining authority selected for interview, by an undefined process, any applicant, regardless of score, who qualified on the written examination. This procedure probably discouraged a number of excellent prospects from filing for this position. A more systematic testing program provides for assignment of specific weights to the written examination and for the experience and training rating with a designated number, who rank at the top, selected for interview. This method creates confidence in the competition and encourages qualified individuals to apply.

Mr. Piatt's article did not show the relative standing on the written qualifying examination of the nine individuals selected for interview, nor did it indicate where they stood on the training and experience rating. Had the author mentioned this, we might have been given an insight into how the Commissioners selected the nine candidates for interview.

I have noted the tendency of many jurisdictions to advertise on a nationwide basis for applicants but then establish procedures and examinations which appear to favor local residents. Presumably this is done for political and economic purposes. For example, a municipality in California recently conducted a nationwide examination in which 15% of the examination questions required a highly specialized and current knowledge of California legislation on municipalities. The examination announcement gave no clue to this emphasis. For all practical purposes, the announcement could have restricted applicants to residents of California. Another jurisdiction in California gave such short notice of time to appear for an interview that applicants from distant points found it extremely difficult to comply. A city in Florida not only gave short notice for interviews but scheduled them on a religious holiday.

I believe that any agency which is sincere in attempting to attract outside applicants should create a climate of trust and consideration in the procedures which it adopts. If the attempt is to create "window dressing" for the local citizenry, then this is questionable conduct which reflects no credit on the public personnel profession.

Robert Hacken
Supervisory Personnel Specialist
Adjutant General's Office
Department of the Army

• A Major Contribution

. . . Just a note to tell you that I thought your January 1959 issue was excellent. I think the variety and thoughtfulness of the articles represented a major contribution.

Milton M. Mandell
Chief, Administrative and
Management Testing
U. S. Civil Service Commission

• Keeps Us Up to Date

. . . I have been intending to write you for some time about "Public Personnel Review."

This is an excellent publication and one of the best in the field. It keeps us up to date on current developments and reminds us continually of the important elements that we should never lose sight of as we move forward on a broad personnel front in the public service.

Besides being full of interesting and valuable material, it is attractive in design and format, and I am always proud to exhibit it. I hope you will tell all those who work on it how much we look forward to each issue here at headquarters.

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Recreation Personnel Service
National Recreation Association